

**Information Management: Records  
Management**

# **The Modern Army Recordkeeping System (MARKS)**

**Headquarters  
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# ***SUMMARY of CHANGE***

AR 25-400-2

The Modern Army Recordkeeping System (MARKS)

This change--

- o Changes the website URL throughout the regulation.
- o Updates the publication references in appendix A.
- o This revision--
- o Transfers the proponentcy for the Army Recordkeeping Program from the Director of Information Systems for Command, Control, Communications, and Computers (DISC4) and the U.S. Army Information Systems Command (USAISC) to the Deputy Chief of Staff for Personnel (DCSPER) and the Records Management and Declassification Agency (RMDA).
- o Replaces all references to the Director of Information Systems DISC4 with the DCSPER and all references to the USAISC with the RMDA.
- o Replaces all references to appendix B with the electronic version of the Army Records Retention Schedules located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001).
- o Identifies the National Archives and Records Administration authority number for disposing of specific records.
- o Adds the electronic version of the Army Records Retention Schedules to the U.S. Army Publishing Agency's quarterly CD-ROM updates.
- o Prescribes DA Forms 543 (Request for Records) and 1613 (Records Cross-Reference).

Effective 1 November 2001

**Information Management: Records Management**

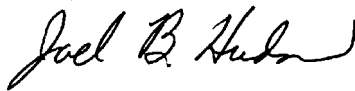
**The Modern Army Recordkeeping System (MARKS)**

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**By Order of the Secretary of the Army:**

ERIC K. SHINSEKI  
*General, United States Army  
Chief of Staff*

**Official:**



JOEL B. HUDSON  
*Administrative Assistant to the  
Secretary of the Army*

**History.**

This issue publishes a revision of this publication. Because the publication has been extensively revised, the changed portions have not been highlighted. This publication has been reorganized to make it compatible with the Army electronic publishing database. The electronic conversion process required some changes to be made to this document:

Paragraph 1-7e was made into two paragraphs, creating a new paragraph 1-7f.

Paragraph 3-9d contained a reference to paragraph 3-13f. This reference was changed to paragraph 3-14f.

Paragraph 9-5b contained a reference to paragraph 9-11b. This reference was changed to paragraph 9-12b.

Paragraph 9-5e(11) contained a reference to paragraph 9-13b(2). This reference was changed to 9-13b.

In appendix A, section I, a citation paragraph relating to DA Pam 25-51 was changed from 5-9c(1)(a) to 5-9c(2)(a).

In appendix A, section V, there was a reference to appendix B. This reference

now refers the reader to the Army web-site located at <http://www.rmda.belvoir.army.mil/markstit.htm>, or the Army Electronic Library CD-ROM (EM 0001). Except for these changes, no content has been added or changed.

**Summary.** This change authorizes the rescission of appendix B. Appendix B is replaced by the electronic version of the Army Records Retention Schedules on both the U.S. Army Records Management and Declassification Agency web page located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001). Further, this change authorizes the use of the electronic version of the Army Records Retention Schedules by incorporating them by reference into AR 25-400-2. The latest records retention schedules approved by the National Archives and Records Administration will be posted quarterly to the RMDA web site. The Army Records Retention Schedules posted on the RMDA web site will be downloaded and published by U.S. Army Publishing Agency (USAPA) in their quarterly CD-ROM updates. Changes will be posted quarterly to the RMDA web site to maintain consistency with the USAPA CD-ROM updates.

**Applicability.** This regulation applies to the Active Army, the Army National Guard of the United States, and the U.S. Army Reserve.

**Proponent and exception authority.** The proponent of this regulation is the DCSPER. The DCSPER has the authority to approve exceptions to this regulation that are consistent with controlling law and regulation. The DCSPER may delegate this authority in writing to a division

chief within the proponent agency in the grade of colonel or the civilian equivalent.

**Army management control process.**

This regulation is subject to the requirements of AR 11-2. It contains internal control provisions but does not contain checklist for conducting internal control reviews. The revised checklist will be published in a DA Circular 11-series.

**Supplementation.**

Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the Information Management Office, ODCSPER, HQDA, ATTN: DAPE-ZXI-RM, 300 Army Pentagon, Washington, DC 20310-0300.

**Suggested Improvements.**

Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Director, U.S. Army Records Management and Declassification Agency, ATTN: TAPC-PDD-R, 6000 6th Street, Stop 5603, Fort Belvoir, VA 22060-5603.

**Distribution.**

This publication is available in electronic media only and is intended for command levels A, B, C, D, and E for Active Army, Army National Guard of the U.S., and U.S. Army Reserve.

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\*This regulation supersedes AR 25-400-2, 1 October 2000.

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## **Chapter 1**

### **Introduction**

#### **1-1. Purpose**

The purpose of Army recordkeeping is to properly manage information, from its creation through final disposition, according to Federal laws and Army recordkeeping requirements. This regulation—

- a.* Establishes the Modern Army Recordkeeping System (MARKS) as a portion of the Army Information Resources Management Program (AIRMP). (See AR 25-1.)
- b.* Furnishes the only legal authority for destroying nonpermanent Army information.
- c.* Provides life cycle management instructions for the systematic identification, maintenance, storage, retirement, and destruction of Army information recorded on any medium (paper, microforms, electronic, or any other).
- d.* Ensures that the commander and staff have the information needed to accomplish the mission; that they have it when and where they need it; that they have it in usable format; and that it is created, maintained, used, and disposed of at the least possible cost.
- e.* Preserves those records needed to protect the rights and interests of the Army and its members and former members, and those that are of permanent value. (See AR 25-55 and AR 340-21.)
- f.* Ensures records related to matters involved in administrative or legal proceedings will be retained until the staff judge advocate or legal adviser authorizes resumption of normal disposition.
- g.* Provides for the systematic removal of less active records from office space to low-cost storage space.

#### **1-2. References**

Required and related publications and prescribed and referenced forms are listed in appendix A.

#### **1-3. Explanation of abbreviations and terms**

Abbreviations and special terms used in this regulation are explained in the glossary.

#### **1-4. Responsibilities**

- a.* The Deputy Chief of Staff for Personnel (DCSPER) is the functional proponent (FP) for the MARKS. The DCSPER will promulgate policy on recordkeeping practices within the Army and for joint, unified and specified commands for which the Army has been designated the Executive Agent.
- b.* Principal Headquarters, Department of the Army (HQDA) officials are the proponents for all recordkeeping requirements necessary to conduct business in their functional areas. They will—
  - (1) Ensure that their recordkeeping requirements are accurate, essential, and current and are contained in the publications that govern how the Army conducts business in their functional areas.
  - (2) Ensure that recordkeeping requirements for their functional areas are provided to the ODCSPER in a timely manner.
- c.* The Director of the Army Staff will accomplish all the responsibilities assigned to the principal HQDA officials for the Office of the Chief of Staff of the Army.
- d.* The Commander, Records Management and Declassification Agency (RMDA), will develop MARKS policy and procedures and maintain and administer the MARKS program for the DCSPER.
- e.* Heads of HQDA agencies and commanders of major Army commands (MACOMs), installations, activities, and units will supervise and manage recordkeeping systems within their agencies and commands. In addition, those having elements in overseas areas will prepare written contingency plans that provide for the withdrawal or destruction of records in hostile or unstable areas.

#### **1-5. Statutory authority**

- a.* The Federal records Act of 1950, as amended, contains the statutory authority for the MARKS program. Government-wide responsibility for Federal recordkeeping is shared by the General Services Administration (GSA) and the National Archives and Records Administration (NARA). GSA portions of the Federal Records Act of 1950 are implemented in the Federal Information Resources Management Regulations (FIRMR) located in 41 Code of Federal Regulations (CFR), Chapter 201; and NARA portions are implemented in 36 CFR, Chapter XII, subchapter B. These are, in turn, implemented by Army regulations.
- b.* Sections 3301-3314, title 44, United States Code (44 USC 3301-3314), establish the legal basis for the disposal of records of the U.S. Government. The Director, U.S. Army Records Management and Declassification Agency, ATTN: TAPC-PDD-R, 6000 6th Street, Stop 5603, Fort Belvoir, VA 22060-5603, develops retention and disposal authorizations that meet Army needs and obtains approval from the Archivist of the United States. Approval by the Archivist is legal authority for the retention and disposal of all Army records.
- c.* The maximum penalty for the willful and unlawful destruction, damage, removal, or alienation of Federal records is a \$2,000 fine, 3 years in prison, or both (18 USC 2071).



## **1-6. Application of MARKS**

### *a.* MARKS applies to—

- (1) All unclassified Army records, including For Official Use Only (FOUO), regardless of media.
- (2) All classified Army records through SECRET. Records that are TOP SECRET may be set up under MARKS or in any manner that will make accountability and control easier. Regardless of the arrangement used, however, the disposition instructions in this regulation will be applied to TOP SECRET records.

### *b.* MARKS does not apply to—

- (1) Record copies of international agreements covered under AR 550-51.
- (2) Publications and blank forms stocked for filling requisitions.
- (3) Reference materials and books in formally organized and officially designated libraries.
- (4) Reproduction materials, such as stencils and multilith masters.

## **1-7. Principles of MARKS**

*a.* Within the MARKS system, records are identified and filed under the number of the primary directive that prescribes those records be created, maintained, and used.

*b.* The file number is the key to MARKS. It identifies the records for filing and retrieval. MARKS numbers are made up by the prescribing directive number followed by an alpha suffix.

*c.* Within each record series there is a file number for “general correspondence.” The general correspondence number is the applicable record series number, which is derived from the publication series number. These file numbers do not contain an alpha suffix, but are further divided between “ACTION” and “NONACTION” correspondence.

*d.* A distinction is made between retention periods in peacetime and during mobilization or the conduct of military operations, where this applies.

*e.* Privacy Act applicability is pinpointed where appropriate. (See AR 340-21.) NARA authority numbers that document the legal authority for the destruction of the records are provided.

*f.* The “Office Administrative Housekeeping Files” deviate from this principle for convenience and accessibility. Housekeeping files are found in front of the 1 Administration series and are numbered 1a through 1oo. These are records that develop because an office exists, not why an office exists.

## **1-8. Unauthorized destruction, damage, or removal of records**

In cases of accidental loss or destruction of records by fire or other cause—

*a.* Reconstruct as much of the lost or destroyed records as possible. A series can often be reconstructed from other copies of the information maintained in other elements of the Army.

*b.* Identify records that cannot be reconstructed on Standard Form (SF) 135 (Records Transmittal and Receipt) at the time that records of the same period are transferred to the records holding area (RHA). At the time period for these records to be retired, RHA personnel will submit the SF 135 to the Federal Records Center.

## **1-9. State of war or threatened war**

*a.* During a state of war between the United States and any other nation or when hostile action by a foreign power appears imminent, records in the custody of the Army outside the territorial limits of the continental United States may be destroyed if it is determined that—

- (1) Their retention would be prejudicial to the interest of the United States.
- (2) They occupy space urgently needed for military purposes and are without sufficient administrative, legal, research, or other value (44 USC 3311).

*b.* Within 6 months of the destruction, forward the following information to HQDA (DAPE-XZI-RM), 300 Army Pentagon, Washington DC 20310-0300, for notification to NARA:

- (1) Description of the records.
- (2) When and where the disposal was accomplished.

## **Chapter 2 Identifying Recordkeeping Requirements**

### **2-1. Prescribing directives**

*a.* Proponents of prescribing directives will ensure that Army regulations and DA pamphlets identify recordkeeping requirements. Army regulations or DA pamphlets which require users to create and maintain records must list the MARKS file numbers under which users will keep the records. Proponents will identify the recordkeeping requirements these publications prescribe and include a list of applicable file numbers in the reference paragraph or in appendix A to the publication.

*b.* Proponents will review new and revised directives for recordkeeping requirements and use this regulation to identify the file numbers under which the records will be kept. The activity information manager (IM) will assist in this review. Proponents will send requests for new or revised file numbers to HQ, RMDA, ATTN: TAPC-PDD-R, 6000 6th Street, Stop 5603, Fort Belvoir, VA 22060-5603.

## **2-2. Unidentified (unscheduled) files**

*a.* Unscheduled records are those records which do not have a disposition schedule approved by the NARA. The RMDA obtains NARA approval for disposing of records and publishing disposition instructions located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001).

*b.* Records not identified or described at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001) will be brought to the attention of the IM who will assist in obtaining a valid file number. New file number requirements or changes to existing file numbers will be submitted to the proponent of the prescribing directive which created the need for the file number. Proponents will forward approved recommendations as specified in paragraph 2-1*b*.

*c.* Local IMs will establish a temporary file number based on the number of the prescribing directive and general format located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001). The disposition instructions will read, "Retain in CFA until disposition instructions are published in AR 25-400-2, MARKS."

## **2-3. Contractor records**

Records management oversight of a contractor's records is necessary to ensure that all long-term recordkeeping needs are met according to the instructions located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001).

*a.* Contractors performing congressionally mandated program functions must create and maintain records to document these programs. The contract must include requirements for the delivery of all pertinent documentation of contractor program execution.

*b.* Many other types of contracts involve the creation of background data that may have value to the Government. Whenever appropriate, agency officials should require the delivery of such background data in addition to a final product. The contractor will assign the appropriate file identification and disposition instructions to all records delivered to the Government. For example—

(1) Contracts to produce statistical analyses will specify the delivery of background data that may have value to the contracting agency or to other agencies.

(2) Contracts to produce reports that represent Army policy will specify the delivery of background data needed to verify assertions or justify conclusions.

(3) Research contracts will specify the delivery of background data that have value to the contracting Army agency.

*c.* Background electronic data and records specified for delivery to the contracting Army Agency must be accompanied by sufficient technical documentation to permit the Army to use the data.

*d.* A deferred ordering and delivery data clause should be included in the contract to acquire any data and records that may have value to the Army but were not identified in advance.

# **Chapter 3 Electronic Recordkeeping**

## **3-1. Overview**

*a.* Army records, regardless of media, must follow the disposition instructions identified at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001) and comply with the security requirements of AR 380-19. All electronic information generated by, or contained in, an automated information system (AIS) must be considered. This includes information contained in Standard Army Management Information Systems (STAMIS), command or installation unique systems, and systems maintained in the office environment.

*b.* Information recorded on any medium capable of being read by a computer satisfies the definition of an electronic record.

*c.* The disposition of electronic records must be determined as early as possible in the life cycle of the system. The functional value and program needs of electronic records dictate the retention period. The MARKS disposition instructions will be defined during the need justification phase, milestone 0, and reviewed in the revalidation phase of each milestone in the life cycle management of the system. (See AR 25-1.)

## **3-2. Judicial use of electronic records**

*a.* Electronic records may be admitted as evidence in court proceedings if their authenticity, accuracy, and general

trustworthiness are established. Unless system integrity is established by thoroughly documenting the system's operation and the controls imposed on it, the record may be refused as evidence.

b. To establish the trustworthiness of the official records, implement procedures that—

(1) Document that similar records generated and stored electronically are created by the same processes each time and have a standardized retrieval approach.

(2) Substantiate that security procedures prevent unauthorized addition, modification, or deletion of a record and ensure system protection.

(3) Identify the electronic media on which records are stored throughout their life cycle, the maximum time span that records remain on each storage medium, and the disposition according to the MARKS file number in this regulation.

c. Coordinate implementation procedures for electronic records with the local legal staff.

### **3-3. Planning new or enhanced AIS**

a. *Records management requirements.* All new or enhanced AIS will include records management requirements when system planning is initiated and throughout subsequent milestones during the life cycle of the system.

b. *Evaluating potential systems.* At a minimum, Information Managers (IM) and FPs should evaluate potential systems to determine recordkeeping requirements. Questions designed to aid in this evaluation are at table 3-1.

c. *Data files.* Systems that produce, use, or store data files will comply with the requirements of this regulation. In addition, the appropriate disposition instructions for the data must be incorporated into the system's design.

d. *All other files.* Systems that maintain the official copy of documents on electronic media will, at a minimum:

(1) Provide a method for authorized users to retrieve documents, such as an indexing, key word, or text search system.

(2) Provide a level of security to ensure integrity of the documents.

(3) Provide a standard interchange format when necessary to permit the conversion or migration of electronic documents from one system to another.

(4) Provide for the disposition of the records during the creation of the record.

### **3-4. Documentation**

Current documentation will be maintained on all AIS.

a. All electronic records must be accompanied by documentation sufficient to ensure that the information is accessible and usable. Minimum documentation consists of identification of the software programs and operating systems used to create the documents to the extent that the technical specifications, file arrangement, contents, coding and disposition requirements of the files can be determined. Programs and system documentation must be maintained for as long as the related information is retained.

b. Review documentation to determine if it—

(1) Adequately specifies all technical characteristics necessary for reading or processing the records.

(2) Identifies all inputs and outputs of the system.

(3) Provides an audit trail of changed or deleted information and the correct MARKS disposition of the informational content and use.

(4) Defines the contents of the files and records.

(5) Clearly states the purpose(s) and function(s) of the system.

c. The appropriate MARKS identification and disposition must be assigned to all electronic records at the time of creation.

d. Documentation for Army AIS that produce, use, or store data files will be maintained up-to-date in accordance with applicable technical bulletins and standards.

e. Minimum documentation of tapes being retired to a Federal Records Center (FRC) or NARA will include—

(1) A narrative description of the file(s).

(2) Physical file characteristics.

(3) Recording mode information, including the coding structure (code books), recording system information.

(4) A record layout. The record layout should break down the file by fields. Each field will have a name, size, starting position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric).

### **3-5. Retention standards**

As with any other media, the originator of the record does not determine when to destroy the record. The office of record must ensure the retention of the electronic records and their documentation for as long as the Army needs them. This means that the IM must—

a. Apply the disposition standard in accordance with instructions located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001).

b. In addition to the procedures for unidentified files in chapter 2, the FPs for AIS must submit the following

information to HQ, RMDA, ATTN: TAPC-PDD-R, 6000 6th Street, Stop 5603, Fort Belvoir, VA 22060-5603, to fulfill NARA requirements—

(1) *Name of the system.* Indicate the commonly used name and acronym of the system. For example, Standard Army Finance System (STANFINS), Army Civilian Personnel System (ACPERS), and Standard Army Intermediate Level Supply System (SAILS).

(2) *System control number.* System Identification Code or internal number assigned to the system for control purposes.

(3) *Functional area.* Show the business process and Information Requirements Study (IRS) to which the system relates and cite any statutory requirement(s) or directive(s) that prescribe the mission or program.

(4) *Proponent.* Show the Army or command functional and system design proponent and their respective addresses, telephone numbers, and location of the program personnel who can provide additional information about the program and system supporting it.

(5) *Purpose.* Indicate the reasons for the system and the requirements met by it.

(6) *Data/information input and sources.* Describe the primary input sources and providers of the data/information to the system. Provide the names of all systems from which this information system receives input.

(7) *Major output.* Show the system's products and the frequency of their preparation. For example, reports, charts, graphic displays, or correspondence — prepared weekly, monthly, or annually. Recommend retention periods for each of these products in light of the overall system. If the information is transferred to other systems, indicate the additional file retention requirements.

(8) *Other.* Indicate the main subject matter, inclusive dates, the update cycles or conditions and rules for adding, changing, or deleting information.

c. The FP responsible for AIS and IMs at MACOM level will validate retention periods of the information generated by, or contained in, information systems in accordance with instructions located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001).

### **3-6. Disposition of electronically stored information**

a. The disposition schedule for electronic records will be the same as those for other types of records located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001).

b. To simplify handling and storage, electronic records will be assigned to the following categories based upon approved dispositions in this regulation—

(1) *T=Temporary.* Records maintained for 2 years or less.

(2) *S=Short.* Records maintained for more than 2 years but less than 10 years.

(3) *M=Medium.* Records maintained for more than 10 years but less than 30 years.

(4) *L=Long.* Records with disposition schedules of more than 30 years but less than permanent.

(5) *I=Indefinite.* Records with a disposition schedule based on the occurrence of a special action and/or event.

(6) *P=Permanent.* Records that the Archivist of the United States has deemed to have sufficient value to warrant their continued preservation by the NARA.

c. Records will be reviewed at least annually. Those with disposition code categories of—

(1) Temporary, short, medium, and long-term which are eligible for destruction will be purged. Other records will be transferred onto the most economical storage medium appropriate for the respective disposition schedule. These records may be retired to an installation information processing facility (IPF) or FRC, as appropriate, in accordance with the provisions of this regulation.

(2) Indefinite will be reviewed to determine if the special action or event that established a finite destruction date for the particular record has occurred. When the event happens, the usefulness of the record has ended and the record can be destroyed. If the event is part of a combination time-event disposition schedule and the event has occurred, the disposition will be changed to the temporary, short, medium, or long disposition code category as appropriate.

(3) Permanent will be retired to the appropriate FRC as soon as the record becomes inactive or when the organization can no longer provide proper care and handling of the medium to guarantee its preservation. Permanent electronic records being accessioned directly into the National Archives require prior coordination HQ, RMDA, ATTN: TAPC-PDD-R, 6000 6th Street, Stop 5603, Fort Belvoir, VA 22060-5603, to HQDA (DAPE-ZXI-RM), 300 Army Pentagon, Washington, DC 20310-0300, to avoid any technical transfer problems.

### **3-7. Unidentified (unscheduled) electronic records**

a. Electronic records unidentified (unscheduled) in this regulation will be brought to attention of the FP for further processing.

b. The procedure for obtaining authorized disposition instructions of electronic records is similar to scheduling any other media, such as paper or microform.

### 3-8. IPF master files of data systems

Master files traditionally stored on magnetic media in an IPF. These files are relatively long-lived computer files containing an organized and consistent set of complete and accurate data. Systems may contain two or more master files which represent the system's various output products. Each of the master files or output products may require different processing and different dispositions.

a. Statements giving the retention requirements of master files are usually expressed in terms of numbers of versions, cycles, or other periods of time which may be based on the occurrence of an event. The FP must propose the length of time data files should be kept. This time period must be consistent with the considered functional value and administrative needs. The proposal will, at a minimum, address—

- (1) The last master file, that is, upon termination of its use or termination of the information system.
- (2) Superseded data by cycles or versions.
- (3) Duplicate files kept for security backup or historical value. If the data proves to have historical value or greater research utility than similar information scheduled at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001) the FP will follow the procedures established in paragraph 3-4.

b. Master files are addressed by three different categories—

(1) *Current Master File (CMF)*. The CMF is the system's most recent version. Examples of CMF are shown below—

(a) System "A" retains student enrollment information and is updated on an annual cycle. Each year student information is updated by additions, deletions, or address changes. The 1990 CMF of this system lists currently enrolled students and current home address, and other related information. This CMF does not reflect students enrolled in 1989; nor does it reflect a student's prior home address which was changed during the 1990 update. Thus, the CMF does not accumulate all transactions.

(b) System "B" retains a continuous accounting of supply items purchased by an organization; it is updated on a monthly cycle. Each month the system is updated by additions only. The September 1990 CMF of this system lists items purchased during the September 1990 and also prior month transactions. Although this CMF is updated monthly, it may be considered as a "add-on" data base which accumulates all prior transactions.

(2) *Prior Master File (PMF)*. The PMF is the previous iteration of the CMF. Normally, the PMF may be deleted after information has been transferred to the master file and verified unless there is a legal, audit, or compelling operational purpose. The FP determines the number of cycles critical to the retention of the previous master file. The retention period of this file may become extremely critical when equivalent information does not exist elsewhere. Examples are shown below—

(a) The PMF of System "A" (1989 student enrollment information) is destroyed upon each update cycle and is not retained elsewhere. Thus, 1989 and prior year student enrollment information has been lost through update processing.

(b) The PMF of System "B" is also destroyed upon each update cycle. However, because this system accumulates all prior month's transactions by "adding on to the CMF," no information has been lost.

(3) *Security back up or historical file*. This file duplicates the CMF and/or the PMF for audit, legal, compelling operational purposes, or as support to reconstruct a master file in the event data has been lost or damaged.

### 3-9. Selection of electronic storage media

This section addresses official records stored electronically. It does not cover records that are created electronically only as a means of producing hard copy documents.

a. Requests to store information on optical media other than the Write-Once-Read-Many must be forwarded through command channels to HQ, RMDA, ATTN: TAPC-PDD-R for approval.

b. Nonpermanent record material may be stored on optical media until their authorized disposal date. Unless there are legal, audit, or compelling operational restrictions, source documents of such temporary records may be destroyed after copying to optical disk. Media care procedures are addressed in paragraph 3-12.

c. Permanent records stored originally on optical disk must be converted to paper, microform, or magnetic tape prior to accessioning into NARA. Permanent source document records will not be destroyed after copying onto optical disk without prior approval from HQ, RMDA, ATTN: TAPC-PDD-R. Because of the hardware and software dependence of current optical disk systems and the absence of standards that ensure the portability of data from one system to another, NARA will not accept permanent records stored on optical disk.

d. Unless there are legal, audit, or compelling operational restrictions, permanent information may be stored on magnetic tape or disk. Permanent electronic records transferred to NARA or an FRC must comply with NARA requirements outlined in paragraph 3-14f.

e. Media and systems selected to store electronic records throughout their life cycle will meet the following requirements—

- (1) Permit easy retrieval in a timely fashion.
- (2) Distinguish between record and nonrecord material.
- (3) Retain records in a usable format until their authorized disposition according to this regulation.

- (4) Permit concurrent read-only multiple users.
- (5) Allow permanent records to meet NARA requirements when they are retired to an FRC or NARA. Magnetic tape is the recommended electronic storage medium for permanent records.
- f. Floppy disks will not be used for official records to be retained for longer than 2 years.

### **3-10. Records integration**

a. Official electronic records may need to be integrated with those of other media. As far as possible, limit the use of media, for example, paper and floppy disks, for parts of the same record. Where similar records that would normally be grouped together, that is, case files, are on mixed media, provide for as much integration of the records as is possible or practical by converting all the records to a single media, either all paper or all electronic. Incoming paper records may be digitized by use of traditional optical character reader (OCR) if signature authentication is critical. Otherwise, they may be scanned using other appropriate scanners, for example, intelligent character recognition (ICR), raster, or bit-mapped. Merge scanned records with their related electronic records. If appropriate, electronic records may be printed on paper or converted to another medium.

b. When it is necessary to keep related records on different media, the records may be cross-referenced to the related stored records. Cross-referencing records on mixed media will provide easier retrieval of the entire record. Provide sufficient information for retrieval, such as: name of the record or file, security classification, file code, disposition grouping code to ensure correct disposition of the electronic record, type of media related record is on and its location, system and/or program name (including version number), name of the functional office, and office symbol. Ensure the File List identifies all electronic records and where they are located (see table 5-1).

### **3-11. Managing records stored on electronic media**

a. Electronic records require the same levels of protection as any other media. Proper management provides for economic, efficient, and reliable maintenance, retrieval, preservation, storage, and scheduled disposition of the information. All personnel must comply with the Army records retention schedule in this regulation when disposing or erasing media that stores the only copy or the official copy of the record.

b. Retrieval of information created and stored electronically relies heavily upon proper labels and indexing. Accurate and complete information is essential to ensure personnel can identify the contents of individual electronic media; retrieve information stored on them; and preserve the record from unintentional or illegal destruction.

(1) For external labels for floppy disks include the originating office symbol, title, disposition grouping code for the record, descriptive title of the contents, Privacy Act System Notice Number if appropriate, begin and end dates, classification, specific software and version used to create the information (for example, LOTUS 1-2-3, Release 2.01, Multimate Advantage II, version 1.0), and hardware on which it was produced (for example, 360k or 1.2m disk drive). The disposition instructions assigned to a diskette must reflect a disposition equal to that of the record stored with the longest retention period on the diskette. Include the disk density, type, and version of operating system and software used to create the information. If using the floppy disk as a working or reference copy of the official record that is stored elsewhere, indicate on the label that this is a reference copy only and the information can be erased when no longer needed. Before affixing the label to a disk, make sure it has sufficient information to identify the data, find it, and dispose of it.

(2) Other external labels will be used, as required, on guide cards, containers for floppy disks, cassettes, tapes, or other physical media, as appropriate. Show the disposition grouping code on the label for the record copy.

(3) All electronic records require a unique name in order to retrieve the record. The design of each computer operating system determines how physical file names should be entered into that system. The common length for a file name is eight characters with extra characters for the extension. Some systems allow much longer file names, others do not use file name extensions, and still others are icon-based. Because of the variety of systems and software, activities should establish easily understandable and standardized file naming conventions, particularly where official records are in a multi-user environment.

(4) Whether an index is stored electronically or printed out, it should include, in sequential order, the abbreviated subject, the document identification, the addressee, the date finalized, and identification of the disk on which it is stored. An abstract of the document may be useful.

c. Army work processed on employee-owned computers is the property of the Army. The official copy of Army records will not be stored on personally-owned computers.

### **3-12. Media care and maintenance**

a. Media care and maintenance is of paramount concern to ensure the long term preservation of electronic records. Because magnetic media is fragile, use extreme care to prevent the loss of information due to careless handling. Improper handling is the most common cause for magnetic media failure, either because of contamination or physical damage. Care and maintenance standards are as follows:

(1) Do not use floppy disks for official records to be retained for longer than 2 years. In addition to the manufacturer's instructions, the precautions below will be followed:

(a) Maintain a clean work environment. Contamination of the disk surface is a serious cause of loss of the record. Abrasive materials (such as dust, including paper dust), pencil eraser debris, and similar substances commonly cause contamination.

(b) Avoid finger contact with exposed media surfaces. Fingerprint oils and dirt can contaminate the media surface. Touching the exposed areas can erase or distort the record.

(c) Always return the diskette to its protective envelope after use. This prevents contamination and physical damage to the diskettes.

(2) Do not flex or fold diskettes. Avoid bending when loading and unloading the disks to or from the drive. Although the envelope may recover, the internal media may have permanent damage.

(3) Do not use rubber bands or paper clips on the diskette or its envelope. The rubber band may cause the disk to remain bent permanently after storage. The paper clip may emboss the media and cause permanent loss of the record. If manually labeling, always write on the external label before it is applied to the disk. If using the original label, use a soft, felt tipped pen with permanent ink. Ball point pens or pencils can emboss the surface and cause permanent surface defects and loss of the record.

(4) Never erase the external label. Erasures can be a source of contamination and the eraser particles could cause "head crashes." Use a felt tipped pen to cross out previous information. Remove and replace the label when it's full. Do not paste a new label over the old one. This can weight down one side of the disk in the drive. Do not cover the flexible disk holes with the new label.

(5) Keep magnets of any kind at least 1 foot away. Magnets will erase the records. These include, but are not limited to, magnetic watches, bar magnets found in offices and other work places, coat and picture hanger magnets, flashlight magnets, magnetized screwdrivers, telephones, and telephone wires.

(6) Store diskettes vertically in their jackets, preferably in a hard plastic container. Store at temperatures between 50 and 120 degrees Fahrenheit. Keep diskettes away from heat sources such as radiators, heaters, and window sills.

(7) Use only tabs supplied with the disks to cover the write-protect notch on the disk envelope. Do not use any tab material that leaves a sticky residue. Write-protect the record as required. Do this by attaching a tab at the notch of 5¼-inch diskettes and by moving the metal strip on 3½-inch diskettes.

(8) Store the backup copy of a master diskette in an alternate location.

(9) When mailing or carrying diskettes in a briefcase, protect them from damage and temperature extremes by using special sturdy envelopes.

(10) Do not insert wet disks into the disk drive. Even when dried, the residue may cause damage by transferring foreign matter on to the drive heads which could damage future disks. Discard the damaged diskette and use the backup copy.

(11) On-line storage with hard disks — A good portion of the information resident on hard disks is in the form of software programs such as DOS, word processing, spreadsheets, or database. Because of the large volume of information on the hard disk, it is important to keep the software program and the records it creates separate. Hard disks require a certain amount of housekeeping, as well as management of the official records stored on the disk, which in this case is in the form of space management, indexing, and retention management.

(12) Hard disks in some microcomputers must be specially treated whenever the computer is moved (that is, a ship track must be done to allow the read/write head to rest safely on the disk). Also, disk failures may occur when the microcomputer receives a lot of vibration. Another area of concern is in reformatting the hard disk. Reformatting erases all data from a hard disk and prepares it for a new use. If a user mistakenly reformats the hard disk, everything on the hard disk is erased.

(13) When storing records on hard disk, always back them up on diskette, magnetic tape, an approved optical system, or removable hard disk each time the record is updated.

(14) Storage of records on a removable hard disk are subject to error or even deletion if anything having a magnetic force is placed near the hard disk. When processing or temporarily storing official electronic records on removable hard disks, provide external labels for them that contain the same information as diskettes. Use the manufacturer's instructions for immediate access storage (IAS) devices that will store the official record copies of electronic records. Immediate or direct access storage devices may include disks, removable hard disks, disk packs, drums, and diskettes.

b. Environmental requirements for storage and test areas for computer magnetic tapes containing official long-term, unidentified, and permanent records on magnetic tape will be kept according to National Institute of Standards and Technology (NIST) standards of a constant temperature of 62 to 68 degrees Fahrenheit; and a constant relative humidity of 35 to 45 percent.

c. Where official records on magnetic tape are maintained in office areas that do not conform to these temperatures and humidity standards, store the magnetic tapes at the correct temperature in a refrigerator or cooler.

d. The IMs will include these locations, as well as off-site storage areas, in their scheduled assistance visits.

e. Quality control of magnetic tapes that store records retained for 8 years or longer, unidentified (unscheduled) records, or records scheduled for permanent retention is essential.

(1) *Tape testing.* The IPF shall certify new magnetic computer tapes no more than 6 months prior to using them to

store electronic records that are unidentified, long-term, or designated for permanent retention. This test should verify that the tape is free of permanent errors and complies with NIST or industry standards.

(2) *Rewinding*. Coordinate with the IPF to rewind, under controlled conditions, all tapes containing unidentified, long-term, or permanent electronic records every 3½ years.

(3) *Reading*. Read a 3 to 7 percent statistical sample of all reels of magnetic computer tape containing the official copy of these records to identify any loss of data and to discover and correct the causes of data loss. In tape libraries with 1800 or fewer reels, a 20 percent sample or a sample size of 50 reels, whichever is larger, should be read. In tape libraries with more than 1800 reels, a sample of 384 reels should be read. Tapes with ten or more errors should be replaced, and when possible, lost data shall be restored. All other tapes which might have been affected by the same cause (that is, poor quality tape, high usage, poor environment, improper handling), shall be read and corrected as appropriate. It may also be necessary to rewrite the information because of changing technology or aging of tapes.

(4) *Recopying*. Magnetic and optical media are not expected to retain data or information in a readable state any longer than 10 years. Information must be recopied onto tested and verified tapes before the end of the 10-year cycle.

### **3-13. Inventory of electronic records and information systems**

To ensure systematic management of information as a resource, the Army must have accurate and comprehensive knowledge of scope, purposes and functions, uses, and legal, regulatory, or other external controls. Collecting, aggregating, and maintaining this information about electronic records and information systems constitutes an information systems inventory.

a. Army-wide or command unique systems will be reported in the Sustaining Base Software Application Inventory.

b. The IMs at all levels will use the Sustaining Base Software Applications Inventory as an aid in identifying information stored electronically for their command and provide records management oversight to ensure timely disposition.

c. The record copy of information stored electronically solely for use in a functional office will be identified on the office file list according to chapter 5.

### **3-14. Electronic records transfer and retirement**

a. Information stored in or generated by information systems and electronic records stored in functional offices will be cutoff in accordance with the retention schedule located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001). Installation RHAs are not required to maintain temperature and humidity levels sufficient to meet NARA environmental standards. For that reason, magnetic and optical media will not be stored in Army RHAs. These records will be stored in an environmentally controlled area.

b. FRCs can provide proper environmental storage conditions for electronic media; however, they do not have specialized equipment to provide the maintenance needed to ensure the retention of data on magnetic tape.

c. Electronically stored information with a disposition of more than 2 years but less than permanent will be stored in the servicing IPF instead of the RHA for the length of time prescribed at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001). The IM retiring the records will oversee records labeling to ensure rapid retrieval to meet Freedom of Information and Privacy Act requests. Label identification must include—

(1) If applicable, the Privacy Act System of Records Notice Number from DA Pam 25-51 must be included.

(2) Name, title, and telephone number of the organization IM authorizing the retirement.

(3) Name and office symbol of the originating office.

(4) File title and applicable MARKS number.

(5) Month and year the records are to be deleted or erased.

d. When the organization can no longer provide proper care and handling of the tapes, they will be offered to NARA for direct accession. Permanent electronic records being accessioned directly into the National Archives require prior coordination through HQ, RMDA, ATTN: TAPC-PDD-R, with HQDA (ATTN: DAPE-ZXI-RM) to avoid any technical transfer problems.

e. Documentation of tapes being accessioned directly into the National Archives must include as a minimum, a narrative description of the file(s), physical file characteristics, recording mode information, including the coding structure, recording system information, and a record layout. The record layout should break down the file by fields. Each field will have a name, size, starting position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric). Label tapes externally with the name of the organization responsible for the data, file title(s), dates of creation and coverage, the recording density, type of internal labels, and so forth. 36 CFR part 1220 contains further details on required documentation.

f. Currently, permanent electronic records being accessioned directly into the National Archives will be on one-half inch, seven or nine track tape reels, written in American National Standard Code for Information Exchange (ASCII) or Extended Binary Coded Decimal Interchange Code (EBCDIC), with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum, word, field, block, or file) blocked no higher than 30,000 bytes per block, at 800, 1600, or 6250 blocks per inch (bpi), or the NARA standard in effect at the time of accessioning.

g. The organization IM must coordinate with the installation IPF for detailed packing, file conversion, and shipping instructions to ensure adequate precautions are met.



**Table 3–1**  
**Questions to aid the IM and FP in establishing recordkeeping requirements**

Issue	Questions	Action
Purpose	<p>Will the information support the mission of the FP?</p> <p>Are there multiple purposes and, if so, will there be varying retention requirements?</p>	Identify the prescribing directive(s) the information will support. Relate the prescribing directive(s) to the MARKS number at <a href="http://www.rmda.belvoir.army.mil/markstit.htm">http://www.rmda.belvoir.army.mil/markstit.htm</a> and on the Army Electronic Library CD-ROM (EM 0001).
Vital records	Is the information in the system a vital record?	Ensure the system has mobility, effectiveness, survivability, continuity of operations and ensure the system capacity during peace, mobilization, and war is identified and documented.
Inputs	<p>What inputs are needed and how long should they be retained?</p> <p>Are they needed for legal or audit purposes?</p>	Ensure that the description under the associated MARKS number includes this input material and that the retention period is consistent with stated legal, audit, or operational requirements of the AIS. Input records have particular audit value which must be determined by the FP. Generally, input records are categorized as feeder reports for versions, cycles, or other time or event dispositions.
On-line retention	<p>How long does the information need to be kept on line?</p> <p>Are on-line retention requirements shown on the unit records or data sets?</p>	Ensure that the proposed retention period is reasonable and consistent with the stated functional or administrative value of the AIS. The assigned retention should reflect a time or event disposition. On-line electronically stored information is directly accessible for immediate processing.
Off-line retention	<p>If the function no longer needs the information on-line, does it need to be retained off-line?</p> <p>For how long?</p>	Based on a defined time or event or combination of both, the record will become inactive and the disposition must state whether the information will be retained permanently or be deleted after a specific length of time.
System design integration	Can requirements for retention and disposition of information be integrated with systems design and operations; for example, with update procedures, regular backup operations, creation of history files, subset files, and public use data sets?	Ensure that this requirement is included in the database specification as part of the applications software capability.
Outputs	What will happen to all the information (reports, tables, charts, graphic displays, catalogs, or correspondence) generated by the system?	Ensure that the output products are identified in the appropriate MARKS number, if not, the IM will assist the FP, as required, in identifying this requirement to HQ RMDA, ATTN: TAPC-PDD-R.
Information integrity	<p>Are multiple copies of the information needed?</p> <p>Do all media need to be maintained for the same length of time?</p> <p>What will happen to the different media, and when?</p> <p>How will the integrity and authority of the information be assured?</p>	Ensure that the disposition under the appropriate MARKS number identifies and distinguishes the action and information locations and specifies a deletion, transfer, or retirement period consistent with the functional or administrative value of the record.
Privacy Act	<p>Is the system subject to the provisions of the Privacy Act?</p> <p>Is the system subject to inter-agency sharing under the provisions of the DODD 5400.11-R?</p>	<p>If yes, ensure the appropriate MARKS number reflects a Privacy Act System notice number. If a notice number is not indicated, or, the information is not included in the system notice, the IM will assist the FP in developing or altering an existing system notice according to AR 340–21.</p> <p>If yes, the IM will initiate coordination with the Privacy Act official to ensure the sharing is included in the routine use of the system notice. If the sharing is not identified, the IM will assist the FP in developing an altered system notice.</p>
Documentation	Who is responsible for maintaining up-to-date authoritative documentation of the system and the information in an emergency situation?	Types of required managerial and technical documentation are identified in AR 25–3. Responsibility for preparation of each document type is identified early in the project life cycle. Some document types are the responsibility of the development group; others, the user group; and still others are prepared jointly. While both groups may work together on some document types, one the groups should be identified as having primary responsibility.

**Table 3-1**  
**Questions to aid the IM and FP in establishing recordkeeping requirements—Continued**

Issue	Questions	Action
	Where will the documentation be maintained?	Documentation will be maintained with the AIS throughout its life cycle. Disposition will be the same as the AIS located at <a href="http://www.rmda.belvoir.army.mil/markstit.htm">http://www.rmda.belvoir.army.mil/markstit.htm</a> and on the Army Electronic Library CD-ROM (EM 0001). Managerial and technical documentation not identified at <a href="http://www.rmda.belvoir.army.mil/markstit.htm">http://www.rmda.belvoir.army.mil/markstit.htm</a> and on the Army Electronic Library CD-ROM (EM 0001) will be brought to the attention of the FP for further processing.
Long-term storage	Which media containing the record must be preserved for long-term operational needs or for archival purposes?	Some electronic records may be integrated with records of other media during their active stage. When the information becomes inactive or the project is terminated, conversion to a single media; for example, all paper or all electronic, may be feasible. See paragraph 3-11 for additional guidance.

## Chapter 4

### Micrographic Records

#### 4-1. Record copy microforms

Micrographic systems should be designed so the microform serves as the record copy. Exceptions are permitted if this is not practical or cost effective.

*a. Identifying the record copy.*

(1) *Records created from hard-copy source documents.* The original (first generation) microform becomes the record copy and the hard-copy original may be destroyed. Do not retain duplicate record copies. Ensure that the microforms are adequate substitutes for the original records and serve the purpose for which such the records were created or maintained. Copies must be complete and contain all information shown on the originals.

(2) *Records created without hard-copy source documents.* When microforms are created by computer output microfilm (COM) without hard-copy source documents, the original (first generation) microform becomes the record copy.

(3) *Reports media list (RML).* The RML includes STAMIS reports designated COM only. Their generation as dual media products is not authorized. Request for exceptions to this policy must be approved by the Program Manager, Computer Output Microform, ATTN: ASQB-IIS-P, Stop C-55, Fort Belvoir, VA 22060-5456.

*b. When microforms are the record copy—*

(1) Permanent information must be recorded on silver-halide microform that meets Federal Standard No. 125D. Other types of microform are not acceptable for permanent information. For records which do not have a permanent retention requirement, the original microform can be either dry silver or silver-halide, whichever is the more efficient and economical filming process.

(2) They must be an acceptable substitute for the original records and must meet prescribed archival quality standards. The Director of Information Management (DOIM) or local IM will ensure that film samples are tested locally or are forwarded to a central facility designated by the Army for testing.

(3) They must meet all legal requirements imposed on the records of the Federal Government and must adequately protect the rights and interests of both the Army and any soldiers, dependents, or employees that they affect. They must contain all of the recorded information shown on the original documents. Records made by photographic, photostatic, microfilm, microcard, or another process which accurately reproduces or forms a durable medium for reproducing the original are considered legal and may be admitted as evidence.

(4) Copies may be produced for daily use and reference purposes. Silver halide original and silver halide duplicate microforms serving as the record copy will not be used for reference purposes or as working copies.

#### 4-2. Storage requirements

Permanent record microforms and record microforms with a retention period of 10 years or more must be stored under the following conditions—

*a. Microforms stored in roll form* will be wound on cores or reels made of noncorroding materials such as nonferrous metals or inert plastics. Other metals may be used if they are coated with a corrosion-resistant finish. Plastics and coated metals that may exude fumes during storage will not be used.

*b. Storage containers for microforms* will be made of inert materials such as metal or plastic. The containers will be closed to protect the microforms from environmental impurities and improper humidities. Containers will be arranged, identified, and indexed so that any record within the container can be found.

*c. Microforms* will not be stored in the same room with nonsilver gelatin films. Nonpermanent microform records can be safely stored under the same conditions as most paper records.

d. Depending on the type of microform being identified, a file label will be placed on the container. Multiple microfiche documenting a single action would normally be put into a single microfiche envelope.

#### **4-3. Inspections**

a. *Permanent and unidentified (unscheduled) records.* Record custodians will inspect master films of permanent records when the records are 2 years old and every 2 years thereafter until they are transferred to an FRC or to the National Archives.

(1) Microforms cannot be accepted for deposit with the National Archives until the first inspection has been performed.

(2) Inspection will include determination of aging blemishes, rereading resolution targets, density remeasurement, and certification of environmental conditions in which microforms are maintained.

(3) Results of inspections will accompany records being transferred or retired, and will include—

(a) Description of records tested (title, number, or identifier for each unit of film, security classification, or other data identifying the records).

(b) Date of inspection.

(c) Defects found and corrective action taken.

(d) Identification of deteriorating master microform that will be replaced with a silver duplicate. The duplicate film is then subject to the 2-year inspection requirement.

b. *Temporary records.* Inspection procedures described above are recommended.

#### **4-4. Disposition of microforms and source information**

a. *Permanent records.* One silver-halide microform set and one diazo or vesicular copy is either retired to the appropriate FRC for later offer to the National Archives or, in coordination with RMDA, ATTN: TAPC-PDD-R, offered directly to the National Archives. The disposition instructions for file numbers in this regulation give guidance in those cases where a direct offer to the National Archives is standard practice.

b. *Nonpermanent records.* Dispose of the microforms per the disposition instructions in the applicable file numbers in this regulation.

c. *Other microform copies.* Dispose of these microform copies when no longer needed for current operations or reference.

d. *Disposition of source information from which microforms are produced.*

(1) *Permanent records.* Instructions for destroying permanent source records converted to microform are found within applicable file numbers in this regulation. Permanent or unidentified (unscheduled) source documents may not be destroyed until approved by NARA. Coordinate further requests for recording mode information, including the coding structure, recording system information, and a record layout. The record layout should break down the file by fields. Each field will have a name, size, starting position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric). Label tapes externally with the name of the organization responsible for the data, file title(s), dates of creation and coverage, the recording density, type of internal labels, and so forth.

(2) *Nonpermanent records.* Dispose of nonpermanent source documents after verification that the microforms meet the appropriate quality standards.

e. *Indexes to record systems.* Dispose of indexes with the records to which they relate.

f. *Record copy microforms for transfer or retirement.* Because of their composition, record copy microforms require the following special care and protection when being transferred to an RHA or retired to an FRC—

(1) Do not mix one type of microform (silver halide, diazo, vesicular, or dry silver) with another type in the same box. Boxes used to retire the microforms must either be lined with an inert plastic material or must be of acid-free construction.

(2) Pack a partially filled box of record copy microforms with either an inert plastic material or acid-free paper. Do not mix record copy microforms in the same box with paper records. Pack them separately.

(3) Specify on the SF 135 that records are on microform when transferring or retiring them. See chapter 9 for specific instructions for completing the SF 135 and shipping container specifications.

#### **4-5. Technical assistance**

The Director, U.S. Army Records Management and Declassification Agency is tasked to provide technical support and guidance for implementing new or improving existing document imagery projects.

## **Chapter 5**

### **Filing Procedures**

#### **5-1. Maintaining information**

Effective files maintenance and reference procedures are essential to document the Army's official business. This chapter contains procedures for maintaining Army information.

#### **5-2. Inspecting records**

Prior to filing, inspect the document to ensure all actions have been completed and eliminate unnecessary attached material, (such as used envelopes, routing slips which bear no essential information, and extra copies). Identify incomplete actions to ensure that they are followed up and that the file will not be prematurely cut off. If action is complete, but essential documentation is missing, try to obtain the missing documents. If unsuccessful, note the action taken to obtain the missing documents and file it with the incomplete action.

#### **5-3. Assembling and fastening records**

*a.* Remove all cover sheets (such as SF 703 (TOP SECRET Cover Sheet), SF 704 (SECRET Cover Sheet), and SF 705 (CONFIDENTIAL Cover Sheet)) before filing unless records are in suspense files or when cases are placed in file containers pending completion of the action.

*b.* Staple documents if possible. Other fasteners may be used when there are too many papers for stapling or physical characteristics prohibit stapling.

#### **5-4. Marking the file number**

As specified in AR 25-50, the action officer adds the MARKS file number when writing a document, or places the file number along the right-hand edge of documents not identified with a file number at the time of creation. When the physical characteristics of a document make it self-identifying for filing purposes, posting the file number to the document is unnecessary. Examples of documents not requiring the posting of a file number are reference copies of publications, mail control forms, and bills of lading.

#### **5-5. Cross-references**

*a.* DA Form 1613 (Cross-Reference) is filed under one file number or subdivision to show the location of material filed elsewhere. A copy of DA Form 1613 is available on both the Army Electronic Library CD-ROM (EM001) and the USAPA web site (<http://www.usapa.army.mil>).

*b.* Prepare cross-references only when essential to retrieving information. They may be used when—

- (1) A document is related to more than one action.
- (2) A classified document has a direct relationship to unclassified material. Do not place classified information on cross-reference forms filed in unclassified files.
- (3) Documents with various dates relate functions to other subfunctions or actions.
- (4) Documents have been changed from one file number or subdivision to another file number or subdivision.

*c.* File bulky material in storage equipment suited to its size. This material may be maintained in file number, serial number, or date order. Keep a cross-reference to the bulky material in the regular office files. The cross-reference must identify the bulky material and related documents, and show storage locations and file numbers. A copy of the cross-reference prepared for the regular file can be attached to the bulky material to serve this purpose.

#### **5-6. Recordkeeping supplies**

MARKS supports the conservation and use of all files supplies and equipment. Supplies available from the Federal Supply Schedule or an administrative self-service support center will be used to maintain records.

#### **5-7. Use of guides and folders**

- a.* Use guides to divide files and to identify subdivisions to ease filing and retrieval.
- b.* Use folders to consolidate, retrieve, and protect the records.
- c.* Stamp the file folder with the classification per AR 380-5.

#### **5-8. Maintenance of records for multiple organizations**

Officials who perform duties for more than one organization will identify the records created in each capacity and maintain them separately. Examples of situations requiring separate recordkeeping are a division commander who is also an installation commander, a command safety officer who is also the installation safety officer, or the chief of a staff section who is also secretary of a committee.

## 5-9. Arrangement of files

The filing arrangements described below are authorized for subdividing records under a file number. They may also be used for TOP SECRET records.

- a. Date arrangement.* Arrange records chronologically in the folder.
- b. Simple number arrangement.* Arrange records in simple numerical sequence, such as unit designation or project number.
- c. Alphabetical arrangement.* Arrange records by subject and name.
  - (1) *Subject.* Use subject titles arranged alphabetically.
  - (2) *Name.* Arrange by the names of persons, places, or organizations. This is mainly used in personnel records. The following are examples of arrangements by name:
    - (a) Personal names.* Filed by last name, first name and middle initial, for example, Smith, John R. This arrangement is subject to the Privacy Act and the file label will show the Privacy Act System of Records Notice number from DA Pam 25-51.
    - (b) Organization names.* File first by general name (such as arsenal, battalion, or depot), then file by specific name, for example, ARSENAL, Watervliet; DEPOT, Red River; MILITARY OCEAN TERMINAL, Bayonne.
    - d. Arrangement restrictions.* Records not covered by a Privacy Act system notice will not be arranged to permit retrieval by personal identifier. Records covered by system notices published in DA Pam 25-51 may be arranged for retrieval by personal identifier. DA Pam 25-51 contains system notices prepared according to the Privacy Act and published in the Federal Register.

## 5-10. Classified documents

File classified documents and unclassified documents in separate containers. There are two exceptions to this instruction. First, documents may be stored together when the record of an action consists of both classified and unclassified documents and reference purposes require that both be filed together. Second, classified and unclassified documents may be stored in the same security container when a small volume of classified material is on hand and it is advantageous to use otherwise empty space for unclassified material. However, the classified material will be separated from the unclassified material by guide cards or by placement in separate drawers. See AR 380-5.

## 5-11. Maintenance of records in libraries

Record copies of publications or other documents are permanent records as described at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001) and will not be maintained as a part of library collections or manuscript collections in libraries or museums. When extra copies are maintained, they will be distinctly marked "LIBRARY COPY" or "MUSEUM COPY."

## 5-12. Suspense files

Suspense files are used as reminders that an action is required by a given date. File numbers need not be used on file folders or containers in which suspense documents are kept. Some samples of suspense files are as follows:

- a.* A note to submit a report or to take some other action. The note would be destroyed after the report is submitted or the action is taken.
- b.* An outgoing communication filed by the date on which a reply is expected. When the reply is received, the communication is withdrawn and filed (if it is the record copy) or destroyed (if it is an extra copy).

## 5-13. Lists of file numbers

- a.* Office personnel prepare lists of file numbers for the convenience of files personnel and action officers. These lists are also used by the IMs to ensure the records identify and document the business of the office, and to identify permanent and long-term records for transfer or retirement. These lists will contain the MARKS file number, description, the Privacy Act systems notice from DA Pam 25-51, and media identification (paper, tape, electronic, microform). (See table 5-1.)
- b.* Office personnel will keep the lists current by making changes as file numbers are added or deleted. IMs will review each list or change and approve the implementation of those that accurately identify the records of the office concerned.

**Table 5–1**  
**Sample of a list of file numbers**  
**Office or Unit: DPT, Training Division, Scheduling Branch**

File media number	Title/brief description	Privacy Act System Notice	Media
1c	Office Inspection and Survey IG Inspection Reports		Paper
1f	Office Organization Files TDA, personnel, manpower, other related information.		Paper
1aa	Supervisory or Manager Employee Record Files SF–7B for civilian personnel assigned to the branch.	OPM GOVT–1	Paper
1jj	Reference Publications Copies of ARs, Pams, and so forth.		Microform
350–1d	Training Operations Files Information on planning and conducting general training.		Tape
385–10g	Target Practice Safety Files Firing safety measures, area involved, and so forth.		Optical disk

## Chapter 6

### Labeling Procedures

#### 6–1. MARKS file numbers

The MARKS file numbers listed at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD–ROM (EM 0001) identify documents for filing, reference, and legal disposition authority. A file number corresponds to the number of the directive prescribing the creation and maintenance of that particular record. An alphabetical suffix is added to the file number to distinguish several records prescribed by a single directive. For example, records prescribed by AR 380–5, are identified by file numbers 380–5a, 380–5b, 380–5c, and so forth. The general correspondence number in each basic series is the only file number that does not contain an alphabetical suffix. These general correspondence numbers are identified only by the series number and documents are divided based on whether they are ACTION or NONACTION documents. Figure 6–1 illustrates the relationship between regulation numbers and file numbers for the administration of the Army safety program, which is directed toward accident prevention Army-wide. Program responsibilities include conducting studies and surveys to determine unsafe practices and conditions, insuring that mishaps are reported and investigated, establishing reporting format procedures, analyzing and evaluating accident reports, providing safety education, and maintaining statistical data on accident prevention. Records on nuclear accidents and incidents, and some other elements on safety are placed in respective subject series.

#### 6–2. Labeling

- a. Label all folders and containers used to store official records.
- b. Labels will include the file number, file title, Privacy Act system notice number (if applicable), and the disposition instructions. Include the year of accumulation when a file is cut off after a time period. Do not include the year on a file with an event disposition or on the “ACTIVE” folder of a time-event file. See chapter 7 for an explanation of these types of files.
- c. Enter the file number and file title on the label as they appear at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD–ROM (EM 0001). For the title of a file label, any abbreviation that will be understood by the custodian of the file may be used. For the disposition instructions, use abbreviations listed in the glossary of this regulation. See figure 6–2 for sample labels.
- d. If there are several folders under one number, only the label on the first folder of the series must show all of the required label information. Labels on the other folders under that same file number will show the file number, a brief identification of material in the folder, and (if applicable) the year of the file. A “dummy” folder (secured shut) or guide card with a label containing required label entries may also be used. Do not use a “dummy” folder or guide card with full label instructions when there is only one file folder for the file year.
- e. When one or more file containers have records with the same file number, posting the file number and other information to each folder label or document is not required. The documents in files of this volume usually bear a distinctive identification (for example, the name on a personnel records jacket or financial data records folder, the number on a voucher, contract number, and so forth). In these instances, only the label on the first folder of the series and the label on the first container must show the required label information. Remaining folders, drawers, or other containers need only be identified by the name, number, or other feature identifying the contents. If there are several folders under one file number, you may use a “dummy” folder or 4 guide card which contains the full label entries.

Subsequent folder labels need only show the file number, contents of the individual folder, and, where appropriate, the year of accumulation. (See fig 6-3.)

f. When written exceptions to disposition instructions have been granted, include a reference to the document authorizing the exception on the folder label after the disposition instructions. A simple way to do this is to serially number all exceptions received and then include the appropriate exception number in parentheses on the label. Another way to record the authority for exception is to enter a reference to the authorizing document after the disposition instructions. In either case, maintain a copy of the document authorizing the exception in the office under file no. 25-400-2d.

g. No disposition is shown on labels for containers with two or more record series because it varies among the several record series stored in the container. The label entry for containers with only one record series, and holding all of that record series is identical to the folder label. The label entries for containers with only part of one record series show which part of the records are stored within the container. In figure 6-4, the "(A thru L)" and "(M thru Z)" represent an alphabetical file arrangement. If files are identified numerically use numbers instead of letters.

THIS IS THE PUBLICATION SERIES NUMBER AND TITLE	385 SAFETY																
THESE ARE THE PRESCRIBING DIRECTIVES FOR THIS SERIES	Prescribing Directive AR 385-10 Army Safety Program AR 385-11 Ionizing Radiation Protection AR 385-16 Systems Safety Engineering and Management AR 385-40 Accident Reporting and Records AR 385-55 Prevention of Motor Vehicle AR 385-64 Ammunition and Explosives Safety Standards AR 385-70 Unmanned Free Balloons, Moored Balloons and Kites, Unmanned Rockets, and Derelict Friendly Airborne Objects AR 385-95 Army Aviation Accident Prevention DA Pam 385-95 Aircraft Accident Investigation and Reporting																
THESE ARE SOME FILE NUMBERS (RECORDS) THAT ARE PRESCRIBED BY 385 SERIES REGULATIONS	<table> <tr> <th><u>Number</u></th><th><u>Title</u></th></tr> <tr> <td>385</td><td>General Safety Correspondence Files</td></tr> <tr> <td>385-10a</td><td>Safety liaison files</td></tr> <tr> <td>385-10b</td><td>Safety hazards</td></tr> <tr> <td>385-11c</td><td>Radiation SOPs</td></tr> <tr> <td>385-16a</td><td>System safety files</td></tr> <tr> <td>385-40a</td><td>Accident experiences</td></tr> <tr> <td>385-95a</td><td>Aviation safety statistics</td></tr> </table>	<u>Number</u>	<u>Title</u>	385	General Safety Correspondence Files	385-10a	Safety liaison files	385-10b	Safety hazards	385-11c	Radiation SOPs	385-16a	System safety files	385-40a	Accident experiences	385-95a	Aviation safety statistics
<u>Number</u>	<u>Title</u>																
385	General Safety Correspondence Files																
385-10a	Safety liaison files																
385-10b	Safety hazards																
385-11c	Radiation SOPs																
385-16a	System safety files																
385-40a	Accident experiences																
385-95a	Aviation safety statistics																

Figure 6-1. Relationship between file numbers and prescribing directives

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File #	File Title	Year of Accumulation, where appropriate
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25-1c Information Management Plans (IMP)	(91)
COFF 31 Dec 92, Trf RHA Jan 95, Ret WNRC Jan 96, Dest Jan 2003	

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Disposition Instructions

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Figure 6-2. Sample label showing the four elements of a file label

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614-162a Mason, Jay R.	(91)
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614-162a Grombach, Simon	(91)
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614-162a Friend, Marion A.	(91)
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614-162a Special Forces Volunteer Applications PA Sys AO640-10cTAPC INACTIVE COFF 31 Dec 91, Dest Jan 93	(91)
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614-162a Westerman, Charles
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614-162a Howard, Leroy B.
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614-162a Eldridge, Stephen M.
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614-162a Special Forces Volunteer Applications PA Sys AO640-10cTAPC ACTIVE PIF after transfer or separation of the individual
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—————(taped shut)—————

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Figure 6-3. Sample label entries and use of "dummy" folder

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10 thru 58-1b (90)	600-8-1j Line of Duty (90) Files COFF 31 Dec 90, Trf RHA Jan 93, Dest Jan 96
Sample label entry for container with two or more record series.	Sample label entry for container with only one record series.
600-8-1j Line of Duty (90) Files (A thru L) COFF 31 Dec 90, Trf RHA Jan 93, Dest Jan 96	600-8-1j Line of Duty (90) Files (M thru Z) COFF 31 Dec 90, Trf RHA Jan 93, Dest Jan 96
Sample label entries for containers with only part of one record series.	

1jj Ref Pubs ARs 1-200 thru 340-21  Dest when supsd, obs, no longer needed for reference	1jj Ref Pubs ARs 350-1 thru 352-3	1jj Ref Pubs ARs 350-37 thru 385-40	1jj Ref Pubs ARs 385-55 thru 420-10
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Sample label entries for binders containing reference  
publications

Figure 6-4. Sample file container and binder label entries

## Chapter 7

### Applying Disposition Instructions

#### 7-1. Disposition standards

a. For most records, the MARKS disposition gives only the generic retention period (that is, destroy after 2 years, destroy after 5 years, permanent, and so forth). In dispositions like these, use table 7-1 to determine and apply the exact cut off, transfer, retirement, and disposition dates.

b. For some records, the MARKS disposition also gives specific instructions for cut off, transfer, retirement, or establishment of inactive files, for example, "Permanent. Place in inactive folder (PIF) on completion of next inspection and cut off at the end of that year." In this example, the file remains among the currently used office files for however long it takes for the next inspection to occur. When the next inspection does occur, the file gains definite disposition instructions. At the end of the year in which the inspection occurred, the file is separated from the active files or "cut-off" and placed in a folder with the appropriate "permanent" disposition instructions on the label. This record will be transferred to the RHA and retired to the FRC after the proper periods of time. See paragraph 7-3c for more information on "time-event" dispositions.

#### 7-2. Files cut off

Files with permanent retention or retention of a specific number of years are cut off at the end of the year in which action on the record has been completed. The retention period does not begin until the records have been cut off. Files with a continuing type of disposition, such as "Destroy when no longer needed for current operations," are not cut off. Review them annually, and remove and destroy individual records within such files when no longer needed.

#### 7-3. Disposition instructions

There are three types of disposition instructions in MARKS based on "time," "event," and "time-event."

a. With a "time" disposition, a record is cut off at the end of the month for a 30-day disposition, at the end of the quarter for a 3 month disposition, semiannually for a 6-month disposition, or at the end of the year for a 1-year or more disposition, held for the specified period, and then destroyed. All such records which accumulate during the course of the year in which the files are developed are cut off at the end of the month, quarter, or year, and then the specified retention period begins. Examples of "time" dispositions and label entries are:

(1) *Destroy after 30 days.* Cut off at the end of the month, hold 1 month in the current files area, and then destroy. Label entry examples are as follows:

- (a) COFF 31 Jan 91, Dest Mar 91.
- (b) COFF 28 Feb 91, Dest Apr 91.
- (c) COFF 31 Mar 91, Dest May 91.
- (d) COFF 30 Apr 91, Dest Jun 91.
- (e) COFF 31 May 91, Dest Jul 91.
- (f) COFF 30 Jun 91, Dest Aug 91.
- (g) COFF 31 Jul 91, Dest Sep 91.
- (h) COFF 31 Aug 91, Dest Oct 91.
- (i) COFF 30 Sep 91, Dest Nov 91.
- (j) COFF 31 Oct 91, Dest Dec 91.
- (k) COFF 30 Nov 91, Dest Jan 92.
- (l) COFF 30 Dec 91, Dest Feb 92.

(2) *Destroy after 3 months.* Cut off at the end of the quarter, hold 3 months in the current files area, and then destroy. Label entry examples are as follows:

- (a) COFF 31 Mar 91, Dest Jul 91.
- (b) COFF 30 Jun 91, Dest Oct 91.
- (c) COFF 30 Sep 91, Dest Jan 92.
- (d) COFF 31 Dec 91, Dest Apr 92.

(3) *Destroy after 6 months.* Cut off semiannually as of 30 June and 31 December, hold 6 months in the current files area, and then destroy. Label entries would be "COFF 30 Jun 91, Dest Jan 92" or "COFF 31 Dec 91, Dest Jul 92."

(4) *Destroy after 1 year.* Cut off at the end of the calendar year (CY) or fiscal year (FY), hold 1 year in the current files area, and then destroy. Label entry would be "COFF 31 Dec 91, Dest Jan 93" for a calendar year or "COFF 30 Sep 91, Dest Oct 92" for a fiscal year.

b. With an "event" disposition, the records are destroyed upon or immediately after the specified event occurs. There is no waiting period, as with the time disposition. As an example, consider the disposition instruction "Destroy after all corrections have been made and processed." When all corrections have been made and processed, remove the document from the file and destroy it. The disposition on the file label would read, "Dest when all corrections have been made and processed."

c. With a combination “time-event” disposition, a record is disposed of a certain period of time after an event takes place.

(1) This disposition requires the creation of two folders, ACTIVE and INACTIVE. The ACTIVE folder label does not show a year of accumulation, because it contains (in the example given above) all records of a case that has not yet been completed. It is in the “event” phase of the disposition, and it may be several years before the case is completed. Once a case is completed, the information is moved to the INACTIVE folder. This folder label does show a year of accumulation, because the information is now in the “time” phase of the disposition. The INACTIVE folder need not be created until the “event” phase of the disposition has occurred and the “time” phase is starting.

(2) The event is the trigger that causes the record to become inactive. It is then cut off at the end of that year, held for the specified time period, then disposed of. For example, with the disposition instruction “Destroy 2 years after close of case,” the record will remain in an ACTIVE file until the case is closed. At that time, move it from the ACTIVE to the INACTIVE file. The entire INACTIVE file will be cut off at the end of the year, held for 2 years, then destroyed. The ACTIVE file label would read, “ACTIVE. PIF on close of case.” The disposition on the inactive label will read, “INACTIVE. COFF 31 Dec 92, Dest Jan 95.”

**Table 7–1**  
**Disposition standards**

Rule	A If the file is accumulated by	B and the abbreviated disposition instructions are	C then the full disposition standard would be	D and disposition instructions on the file label would be (examples are calendar (CY) or fiscal year (FY), as applicable.)
1	Any element of the Army to which AR 25–400–2 applies	Destroy after 1 month	Cut off at the end of the month; hold 1 month in the current files area (CFA); then destroy	COFF 31 Jan 91, Dest Mar 91 COFF 28 Feb 91, Dest Apr 91 COFF 31 Mar 91, Dest May 91 COFF 31 Apr 91, Dest Jun 91
2		Destroy after 3 months	Cut off at the end of each quarter; hold 3 months in the CFA; then destroy	COFF 31 Mar 91, Dest Jul 91 COFF 30 Jun 91, Dest Oct 91 COFF 30 Sep 91, Dest Jan 92
3		Destroy after 6 months	Cut off twice a year, according to the CY or FY; hold 6 months in the CFA; then destroy	CY: COFF 30 Jun 91, Dest Jan 92 or COFF 31 Dec 91, Dest Jul 92 FY: COFF 31 Mar 91, Dest Oct 91 or COFF 30 Sep 91, Dest Apr 91
4		Destroy after 1 year	Cut off at the end of the CY or FY; hold for 1 year in the CFA; then destroy	CY: COFF 31 Dec 91, Dest Jan 93 FY: COFF 30 Sep 91, Dest Oct 92
5		Destroy after 2 years	Cut off at the end of the CY or FY; hold for 2 years in the CFA; then destroy	CY: COFF 31 Dec 91, Dest Jan 94 FY: COFF 30 Sep 91, Dest Oct 93
6		Destroy upon occurrence of a specific action or event	Destroy when superseded or obsolete. Destroy when no longer needed for current operations.	Destroy when superseded or obsolete. Destroy when no longer needed for current operations
7		Destroy a certain time period after occurrence of a specific action or event	Destroy 2 years after transfer or separation of individual. Place in INACTIVE file on transfer or separation of individual; cut off INACTIVE file at end of year and hold 2 years in CFA; then destroy.	Example for a 2-year time-event file: ACTIVE: PIF after transfer or separation of individual INACTIVE: COFF 31 Dec 91, Dest Jan 94
8		Destroy after 3 or 4 years	Cut off at the end of the CY or FY; hold for 3 or 4 years in the CFA; then destroy.	Example for a 3-year file: CY: COFF 31 Dec 91, Dest Jan 95 FY: COFF 30 Sep 91, Dest Oct 94

**Table 7-1**  
**Disposition standards—Continued**

Rule	A	B	C	D
	If the file is accumulated by	and the abbreviated disposition instructions are	then the full disposition standard would be	and disposition instructions on the file label would be (examples are calendar (CY) or fiscal year (FY), as applicable.)
9	HQDA Staff agencies and Army elements not serviced by an RHA	Destroy after 5 or more years (but not PERMANENT records)	Cut off at the end of the CY or FY; hold for 2 years in the CFA; retire to the servicing Federal Records Center (FRC), where the file will be held until the total retention period has expired, then destroy.	Example for a 5-year file: CY: COFF 31 Dec 91, Ret Washington National Records Center (WNRC) Jan 94 Dest Jan 97 FY: COFF 30 Sep 91, Ret WNRC Oct 93, Dest Oct 96
10		PERMANENT	Cut off at the end of the CY or FY; hold for 2 years in the CFA; and then retire to the servicing FRC.	CY: COFF 31 Dec 91, Ret WNRC Jan 94, PERM FY: COFF 30 SEP 91, RET WNRC OCT 93, PERM
11	Army elements serviced by an RHA	Destroy after 3, 4, 5, 6, or 7 years	Cut off at the end of the calendar or fiscal year; hold for 2 years in the CFA; then transfer to RHA; hold until total retention period expires; then destroy.	Example for a 5-year file: CY: COFF 31 Dec 91, Trf RHA Jan 94, Dest Jan 97 FY: COFF 30 Sep 91, Trf RHA Oct 92, Dest Oct 96
12		Destroy after more than 7 years (but not PERMANENT records)	Cut off at the end of the calendar or fiscal year; hold for 2 years in the CFA; then transfer to the RHA; hold for 1 year; then retire to the servicing FRC, where they will be destroyed when the retention period expires.	Example for a 10-year file: CY: COFF 31 Dec 91, Trf RHA Jan 94, Ret WNRC Jan 95, Dest Jan 2002 FY: COFF 30 Sep 91, Trf RHA Oct 93, Ret WNRC Oct 94, Dest Oct 2001
13		PERMANENT	Cut off at the end of the CY or FY; hold for 2 years in the CFA; then transfer to the records holding area; hold for 1 year; then retire to the servicing FRC.	CY: COFF 31 Dec 91, Trf RHA Jan 94, Ret WNRC Jan 95, PERM FY: COFF 30 Sep 91, Trf RHA Oct 93, Ret WNRC Oct 94, PERM

Notes:

<sup>1</sup> For rules 1 through 7, apply appropriate standard in rules 8 through 13 if longer retention periods are specified.

## Chapter 8

### Reference Procedures

#### 8-1. Records retrieval

The procedures in this section are designed to provide rapid and efficient files reference services. These procedures apply to RHAs or large file room operations, and may be adapted to organize records retrieval in any size office.

#### 8-2. Submission of requests

Requests to charge out files may be in memorandum format or the forms listed in paragraph 8-3 below. The following information is needed to locate and charge-out the material—

- Identification of material and file classification, if known.
- Name of writer (organization or individual).
- Date of the document (specific or approximate).
- Requester's name, organization, location, and telephone number.

#### 8-3. Charge-out record

A charge-out record will be made and substituted for documents removed from a file for reference purposes. Charge-out forms are as follows:

a. Use DA Form 543 (Request for Records) for documents charged out when suspense control is required. Attach the original to the file material to serve as a routing form and cover sheet. Retain a copy in the files area in a followup or suspense file. Attach a copy of the completed DA Form 543 to Optional Form (OF) 23 (Chargeout Record), OF 24 (Shelf File Chargeout Record), or OF 282 (Microfiche Chargeout Record) in the filing location from which the file material is removed. A copy of DA Form 543 is available on both the Army Electronic Library CD-ROM (EM001) and on the USAPA web site located at <http://www.usapa.army.mil>.

b. OF 23, OF 24, or OF 282 may be used for documents charged out when suspense control is not desired.

#### **8-4. Charge-out suspense and followup**

a. The charge-out system using DA Form 543 involves a suspense and followup procedure to control loaned records. A uniform followup time (usually 5 to 10 days) for charged out material should be established. The suspense file will consist of a copy of each DA Form 543 representing charged out documents. This suspense copy of the DA Form 543 will be used to trace records that have been charged out from the file area.

## **Chapter 9 Records Transfer and Retirement**

### **9-1. Sending records out of the CFA**

a. Except in a few cases noted elsewhere in this regulation, the normal flow of records is from the office files, through the organizational and installation information management channels, to an RHA for a short period of storage, then ultimately to an FRC. Nonpermanent records are destroyed at specified dates in one of these locations according to their disposition instructions.

b. The SF 135 is the transmittal and tracking document for records sent out of the office files area. It is initially prepared by the office which created the records being transferred and accompanies the records until they are destroyed or become part of the National Archives. The RHA uses the SF 135 as a receiving document, as a receipt returned to the creating office, as an inventory tool showing where the records are located in the RHA, and to retire the records to an FRC. The originating office, information management officials, RHA manager, and higher headquarters in some cases, will retain copies of the SF 135 during the life cycle of the pertinent records in order to make retrieving them easier.

c. Files should be reviewed and purged of unnecessary documents before being sent out of the office CFA.

### **9-2. Classified records**

This section outlines procedures for shipping classified records.

a. *Transfers.* Before transferring classified records, consult with your security manager and initiate the actions specified in AR 380-5, paragraph 3-402.

b. *TOP SECRET.* TOP SECRET records will not be retired to an FRC until downgraded to a lower classification, except those in overseas commands and those which are to be deposited with the Defense Investigative Service and in the U. S. Army Intelligence and Security Command (INSCOM) records center (see *c* below). When TOP SECRET records must be retired to an FRC, transmission and accountability will be in accordance with AR 380-5 and other applicable security management instructions.

c. *SECRET and CONFIDENTIAL.* Instructions for listing, receipting, and packing material with these classifications are the same as those for unclassified records except that unclassified titles will be used on the SF 135 to list the records, and additional receipts may be needed, such as DA Form 3964 (Classified Document Accountability Record). Wrapping and shipping material with these classifications will be in accordance with procedures described in AR 380-5, chapter 8, and later paragraphs of this regulation.

d. *Special Intelligence documents.* Special Intelligence documents, including TOP SECRET, will only be retired to the INSCOM records center. Transmission and accountability will be in accordance with AR 380-28.

e. *Restricted Data and Formerly Restricted Data.* Regardless of classification, Restricted Data and Formerly Restricted Data will not be intermingled with other information when being transferred to an RHA or retired to an FRC.

### **9-3. For Official Use Only (FOUO) records**

Records with the FOUO protective marking will be packed as prescribed in this chapter for unclassified records.

### **9-4. Preparing records for transfer or retirement**

a. The office which created the records being transferred is responsible for organizing, packing, receipting (using SF 135), and sending the records to the RHA. The creating office remains the legal custodian of the records even when they are retired to an FRC and will maintain documentation to enable it to retrieve the records. To demonstrate this

point, if the creating office receives a Freedom of Information Act request for records which have been transferred or retired, that office is responsible for locating the records and retrieving them for review.

b. IMs will assist record creating offices in processing their records for transfer and ensuring that this is done correctly. They will consolidate records transfers from the different record creating offices in their organization and sign SF 135s as liaison officials (see para 9-9).

c. Installation IMs maintain RHAs, store records therein, retire records to the FRC, fill out the SF 135 to document their actions, and distribute the SF 135 properly.

d. Do not transfer or retire records that are subject to the Privacy Act unless they are covered by a system notice in DA Pam 25-51.

(1) This regulation identifies the Privacy Act system notice number applicable to file numbers for records requiring protection. Cite the Privacy Act system notice number on SF 135s, files lists, and file labels.

(2) If the Privacy Act system notice number associated with a MARKS file number is incorrect, or newly created recordkeeping requirements lack Privacy Act protection, promptly notify HQ, RMDA, ATTN: TAPC-PDD-R, Fort Belvoir, VA 22060-5603 through information management channels. That office will arrange for preparation of an applicable system notice or give special maintenance and disposition instructions.

e. Do not transfer records on persons or organizations not affiliated with the Department of Defense. Handle any such records per the instructions in AR 380-13.

### **9-5. Preparing SF 135 and SF 135-A**

SF 135 (Records Transmittal and Receipt) and SF 135-A (Records Transmittal and Receipt (Continuation)) will describe records in enough detail to permit quick retrieval of specific documents. See figures 9-1, 9-2, and 9-3 for examples.

a. Prepare a separate SF 135 for each records shipment. Use SF 135-A as a continuation sheet. SF 135 and SF 135-A may be electronically generated without exception approval by the General Services Administration, provided the electronic form matches, as closely as possible, the official printed edition of the form, including all data elements, instructions, and identifying information. The form number will not be altered to show -R or -E. The date of the form will be the same as the current edition of the printed form.

b. Make an original and one copy of each form when transferring records to an RHA or an Overseas Command Records Holding Area (OCRHA). If the shipment contains records of a discontinued unit, include an additional copy which will be sent to the IM of the next higher headquarters (see paragraph 9-12b).

c. Specify on the SF 135 that records are on microform or other machine readable media when transferring or retiring them.

d. The IM or RHA manager should prepare new SF 135s if, for example, nonpermanent records have been removed from boxes and replaced with permanent records to consolidate records for retirement.

e. Entries on SF 135 follow:

(1) *Item 1.* If transferring records to an RHA or an Army records center, cross out "Federal Archives and Records Center, General Services Administration" and enter the appropriate address. If retiring records to the FRC (normally from an RHA), enter the address of the FRC.

(2) *Item 2.* Enter name and title of the record creator or head of the organizational element transferring the records. That person will place his or her signature in this block and enter the current date.

(3) *Item 3.* Enter name and telephone number of the custodian of the records.

(4) *Item 4.* Completed by the RHA or FRC.

(5) *Item 5.* Enter name and address of organizational element transferring the records.

(6) *Items 6(a), 6(b), and 6(c).* These items are normally completed by the RHA or FRC. However, HQDA agencies in the National Capital Region retiring records to WNRC may also complete these items. Enter the accession number obtained in advance from the appropriate records official. The ODCSPER will allocate blocks of accession numbers to Army staff agencies assigned Records Group 319. Agency heads that have been assigned a Record Group number by the NARA other than 319 (such as 77, 112, 153, 168, 203, 335, and 410) may assign accession numbers for their agencies without contacting ODISC4. When retiring records to centers other than WNRC, HQDA agencies will not complete items 6(a), 6(b), and 6(c).

(7) *Item 6(d).* Enter number of boxes in the shipment.

(8) *Item 6(e).* Enter the number of each records box in relation to the number of boxes in the record shipment (for example, 1 of 3, 2 of 3, 3 of 3).

(9) *Item 6(f).*

(a) If the records are subject to the Privacy Act, the first entry will show the Privacy Act System of Records Notice number from DA Pam 25-51.

(b) Enter the name and location of the organization that created the records, for example: 4th Infantry Division, Fort Carson, CO, or U.S. Army Military District of Washington, Washington, DC, or Office of the Chief of Engineers, Washington, DC. The name of the organization may differ from that in item 5.

(c) Enter any background or historical information necessary to identify the organization that created the records, or to describe significant events documented by the records such as activation, names and locations of next higher headquarters, inclusive dates of command jurisdiction, transfer of functions, dual operating functions, redesignation, discontinuance, and inactivation. When records from multiple organizations are listed on the same SF 135, enter the historical data after the name and location of the organization.

(d) Enter the complete title of the organizational element that created the records; for example, "Training Division, Directorate of Plans and Training, or Personnel Administration Center, 2nd Battalion."

(e) Enter any special classification, such as "Restricted Data" and "Formerly Restricted Data" not listed in the restriction codes on the back of the SF 135.

(f) Enter the file title and year the records were created. The title will be the same as that shown in this regulation and may include subtitles or other specific identification. If the files are contained in more than one box, show the contents of each box.

(10) *Item 6(g)*. Enter the proper code to show any restriction on use of the records. The restrictions are listed and explained on the reverse side of SF 135. Specify any other special restrictions in item 6(f).

(11) *Item 6(h)*. Enter the MARKS file number for the records opposite the file title. If, due to revision of this regulation, the MARKS file number changes between the time the records are transferred to the RHA and retired to the FRC, the RHA manager should update the SF 135 before retiring the records. Cross out the old number, enter the new number, and inform the originating office of the change with its copy of the SF 135 (see para 9-13b). File labels should also be updated in the same way.

(12) *Item 6(i)*. Enter the month and year in which the records may be destroyed (such as, Jan 98, Oct 98, or 1/98, 10/98). If the records are permanent, enter PERM.

(13) *Item 6(j), 6(k), 6(l), and 6(m)*. These items are completed by the RHA or FRC. The RHA will mark box locations here. When retiring records to an FRC, the RHA manager will normally prepare a new SF 135, and the FRC will mark its box locations here.

## **9-6. Special instructions for classified records**

Do not disclose classified information on SF 135 or SF 135-A, use unclassified titles. Within the Army other receipts may be necessary. Consult with your security manager for specific information.

## **9-7. Distributing completed SFs 135 and 135-A when transferring records**

a. Under circumstances other than discontinuance of an organization—

(1) For records transferred to RHAs—

(a) The originating office places an original and one copy in the first box of a records shipment sent to the RHA, and keeps one copy for its files.

(b) The RHA maintains one copy and returns one copy to the originator, with location information entered, as acknowledgment of receipt. The originating office keeps this copy and disposes of the former version.

(2) For records transferred to OCRHA—

(a) Originating office sends original SF 135 and one copy to the OCRHA 1 week prior to shipment as advance notice.

(b) Originating office puts one copy in the first box of the shipment, and keeps one copy for file. The OCRHA fills out location information and returns a copy of the SF 135 to the originating office as acknowledgment of receipt.

b. On discontinuance of an organization, distribute copies as above and send one additional copy to the IM of the creating organization's next higher headquarters. Discontinued organizations reporting directly to HQDA will send the copy to the Director, U.S. Army Records Management and Declassification Agency, ATTN: TAPC-PDD-R, 6000 6th Street, Stop 5603, Fort Belvoir, VA 22060-5603.

## **9-8. Distributing completed SFs 135 and 135-A when retiring records**

a. Offices which create records will keep them in their area until they receive approval from their RHA to transfer them. The SF 135 and 135-A should be routed through organizational information management channels to the installation IM who operates the RHA. In turn, the RHA is normally the point from which records are retired to an FRC.

b. The RHA will obtain prior approval to retire records by sending an original SF 135 and two copies to the FRC in time to arrive approximately 4 weeks prior to desired date of shipment of the records. The RHA retiring the files will retain one copy. The FRC annotates the forms with an accession number, box locations, and a signature and returns two copies to the RHA, giving approval for retirement of the records.

(1) When the approved SF 135 is received from the FRC, continental United States (CONUS) activities have 90 days and overseas activities have 120 days to retire the records before the FRC's approval expires. If an approved SF 135 is not received within 30 working days, contact the FRC to resolve the problem.

(2) With a few exceptions, records accessioned into an FRC remain Army property and the originator of the records

must know their location. The FRC will provide a copy of the SF 135 showing the accession number to the office which created the records. If the office of origin no longer exists, the copy is sent to the next higher headquarters IM.

c. Records may be shipped in one or more boxes. If more than one box is used, put the SFs 135 in the first box of the shipment.

d. The RHA will send one copy of each approved SF 135 listing records retired to an FRC to the Director, U.S. Army Records Management and Declassification Agency, ATTN: TAPC-PDD-R, 6000 6th Street, Stop 5603, Fort Belvoir, VA 22060-5603. It will be included in the world-wide locator of Army records holdings.

e. When records of a discontinued unit are listed, send one copy of the SF 135 completed by the RHA or FRC to the IM of the discontinued organization's next higher headquarters.

### **9-9. Supplemental data when organizational status has changed**

Attach to the original SF 135 and 135-A a description or chart of the new organizational status, relationships to higher headquarters, and a list of all files sent to another organization in a transfer of functions or retired directly to an FRC, when applicable.

### **9-10. Receipts for SECRET documents**

Commanders or organization heads will decide if SECRET documents being retired must be identified individually on the SF 135. The FRC will sign the SF 135 but will not sign other types of classified document receipts. DA Form 3964 may be used in addition to the SF 135 when transferring records between Army organizations.

### **9-11. Transferring records to other organizations**

The procedures for packing records and preparing and distributing records transmittal lists when transferring records to organizations other than RHAs or FRCs are the same as those described above.

### **9-12. Shipping procedures**

a. *Special instructions for classified files.* The shipment of unrelated unclassified material in classified shipments is prohibited.

(1) Place classified records in two packages of about equal size, one securely wrapped box or package inside the other. Do not indicate the classified nature of the contents on the outside box or package.

(2) Ship files classified SECRET or CONFIDENTIAL in accordance with instructions given in AR 380-5, chapter 8.

(3) Files containing cryptographic documents and messages will be shipped using the Defense Courier Service.

b. *Marking instructions.* Mark each records shipping box with the sender's destination address, accession number if applicable, and box number if shipping more than one. Show the box's contents on the SF 135 rather than on the box itself.

(1) *Box number.* Mark the upper right corner of each box of records being shipped to the RHA or FRC with a number. The number will relate to the box number shown in Item 6(e) of the SF 135 (for example, 1 of 2, 2 of 2).

(2) *Accession number.* A separate accession number is assigned by the FRC for each series of records listed on the SF 135. The RHA will place the accession number, as well as the box number, on each box being shipped to the FRC. The accession number goes on the upper left-hand corner of the front of the box.

c. *Stenciling or labeling boxes for mail or freight shipments.*

(1) *Freight shipments.*

(a) Each box will be stenciled or labeled clearly with an address label showing name and address of the receiving FRC, gross weight, outside cubic measurement of container, and the number of the box if there are more than one in the shipment.

(b) When stenciling is used on a fiberboard box, stencil the information given in (a) above over the top flap of the box.

(c) When a shipping label is used on a fiberboard box, put the information given in (a) above on the label and attach it firmly to the top of the box.

(2) *Mail shipments.* Label each box with a standard mailing label showing the address of the appropriate FRC when using the U.S. Postal Service. Ensure that special instructions for mailing classified information contained in AR 380-5, such as using registered mail for SECRET information, are followed.

### **9-13. Shipping containers**

a. Ship records by the most economical means, but ensure that multiple box shipments are not separated. For this reason, shipping records by rail or motor freight using Government Bills of Lading (GBL) within CONUS is preferred for unclassified information.

b. Use the standard records shipping boxes available from GSA to transfer records to the RHA and to retire records to FRCs. For shipping paper records and roll microfilm, use box National Stock Number (NSN) 8115-00-117-8249



with the dimensions 14¾ inches by 12 inches by 9½ inches. For shipping magnetic tape, use box NSN 8115-00-290-3379 with the dimensions 15 inches by 12 inches by 10 inches.

*c.* The GSA Supply Services Catalog includes containers for odd-size records such as maps and x-rays. Use the container which best protects the records being shipped.

*d.* Pack records shipped to FRCs from an outside continental United States (OCONUS) location in triple-wall (TRIWALL) type containers. The TRIWALL type container selected should have a capacity of no less than 10 boxes. Do not use container express (CONEX) containers.

*e.* Boxes used to retire microforms must either be lined with an inert plastic material or must be of acid free construction, or the film must be placed in an acid free container. Do not mix record copy microforms in the same box with paper records. Pack them separately. Microfiche boxes should be 14¾ inches by 6½ inches by 4½ or 5 inches.

#### **9-14. Sealing**

Seal or band record shipping containers with any tape or strap that will adequately protect the contents and meets the carrier's requirements.

#### **9-15. Organizing records for shipment**

*a.* Separate the records to be transferred into the following groups—

- (1) Classified permanent records.
- (2) Classified nonpermanent records.
- (3) Unclassified permanent records.
- (4) Unclassified nonpermanent records.
- (5) Restricted Data and Formerly Restricted Data.

*b.* The IM of an organization transferring records should consolidate them into a single annual shipment, if possible. Arrange the records into boxes by the criteria above, and creating office and MARKS number.

*c.* Pack classified records separately from unclassified records. Pack microform records separately from paper records. Under each of these groups, pack permanent records first, in MARKS number sequence, followed by nonpermanent records, also in MARKS number sequence.

#### **9-16. Packing records for shipment**

*a.* Pack letter-size paper records in boxes so that the file folders are parallel with the end of the box. If a small number of legal-size documents are filed with the letter-size material, fold the bottom ends of the documents into the file folder to prevent tearing. Pack legal-size paper records in the boxes so that the file folders are parallel with the longer side of the box. Fill the boxes, but do not pack boxes so tightly that records cannot be easily removed and replaced in the containers.

*b.* Before transferring boxes to the RHA, enter the box number and total number of boxes in the shipment on the end of each box in the upper right corner.

*c.* Do not ship a partially filled box except as the last box of a multiple box shipment. Pack crumpled paper in the unused space so that the contents do not shift in the box during shipment. If too few records to fill a box are being transferred, the information management official should contact the RHA manager for guidance. The RHA manager may be able to consolidate small record transfers into full boxes.

RECORDS TRANSMITTAL AND RECEIPT				PAGE 1 OF PAGES							
1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150) <div style="text-align: center;"> <b>Federal Records Center</b>  <b>WASHINGTON, DC 20409</b> </div>				Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.							
2. AGENCY TRANSFER AUTHORIZATION TRANSFERRING AGENCY OFFICIAL (Signature and title) <div style="text-align: center;"> <b>CHIEF, DCSIM or DOIM</b> </div> DATE				DOIM ATTN: (OFFICE SYMBOL) USAARMC STREET ADDRESS (IF ANY) FT KNOX, KY 40121-5000							
3. AGENCY CONTACT TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Name of IMO or an appointed representative. Office & Telephone Number (Com'l & DSN).											
4. RECORDS CENTER RECEIPT RECORDS RECEIVED BY (Signature and title)				DATE							
<b>RECORDS DATA</b>											
6. ACCESSION NUMBER RG FY NUMBER (a) (b) (c)		VOLUME (ex. N) (d)	AGENCY BOX NUMBERS (e)	SERIES DESCRIPTION (With inclusive dates of records) (f)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)	DISPOSAL DATE (i)	LOCATION (j)	SHELF (k)	CONTAINER (l)	AUTOMATICALLY DISPOSED (m)
		3	1/3 2/3 3/3	These records are an addition to a records system previously retired to the records center; and the information previously submitted by Headquarters, Department of the Army is still applicable.  U.S. Army Armor Center and Fort Knox, Fort Knox, KY 40121-5000  Staff Judge Advocate  Article 139 Claims. Filed alphabetically. 1990 A thru G H thru M N thru Z	N	AR 25-27-20n	1/2001				

NSN 7540-00-634-4093

135-107

Standard Form 135 (Rev. 7-86)  
 Prescribed by NARA  
 36 CFR 1228.152

Figure 9-1. Sample SF 135 for a single series records retirement to a FRC. These are nonpermanent records.

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.) <div style="text-align: center;"> <b>Federal Records Center</b>  <b>WASH DC 20409</b> </div>										5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address) <div style="text-align: center;"> <b>DOIM</b>  <b>ATTN: (OFFICE SYMBOL)</b>  <b>USAAARMC</b>  <b>STREET ADDRESS (IF ANY)</b>  <b>FT KNOX, KY 40121-5000</b> </div>																																																																																
2. AGENCY TRANSFER AUTHORIZATION TRANSFERRING AGENCY OFFICIAL (Signature and title) CHIEF, DCSIM or DOIM DATE		3. AGENCY CONTACT TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Name of IMO or an appointed representative. Office & Telephone Number (Com'l & DSN) RECORDS RECEIVED BY (Signature and title) DATE		6. RECORDS DATA <table border="1"> <thead> <tr> <th colspan="2">ACCESSION NUMBER</th> <th>VOLUME (v. of)</th> <th>AGENCY BOX NUMBERS</th> <th>SERIES DESCRIPTION (With inclusive dates of records)</th> <th>RESTRICTION (g)</th> <th>DISPOSAL AUTHORITY (Schedule and item number)</th> <th>DISPOSAL DATE (i)</th> <th colspan="3">COMPLETED BY RECORDS CENTER</th> </tr> <tr> <th>RG</th> <th>FY</th> <th>NUMBER (c)</th> <th>(e)</th> <th>(f)</th> <th>(g)</th> <th>(h)</th> <th>(i)</th> <th>LOCATION</th> <th>PLAN (k)</th> <th>CONT. TYPE (l)</th> <th>AUTO DISP. (m)</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td>U.S. Army Armor Center and Fort Knox, Fort Knox, KY 40121-5000  Historical Data: (If any) Directorate of Personnel and Community Activities</td> <td></td> <td>AR 25-</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td>1</td> <td>MIXED SERIES</td> <td>Mobilization Plans and Programs Filed numerically by plan. 1990</td> <td>N</td> <td>500-5a</td> <td>Perm</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td>1/1</td> <td></td> <td>Civil Disturbance Reports. Filed chronologically. 1990</td> <td>N</td> <td>500-50b</td> <td>Perm</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td>1/1</td> <td></td> <td>Permanent Order Record Sets. Filed numerically. 1990</td> <td>N</td> <td>310-10c</td> <td>Perm</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>																ACCESSION NUMBER		VOLUME (v. of)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE (i)	COMPLETED BY RECORDS CENTER			RG	FY	NUMBER (c)	(e)	(f)	(g)	(h)	(i)	LOCATION	PLAN (k)	CONT. TYPE (l)	AUTO DISP. (m)					U.S. Army Armor Center and Fort Knox, Fort Knox, KY 40121-5000  Historical Data: (If any) Directorate of Personnel and Community Activities		AR 25-								1	MIXED SERIES	Mobilization Plans and Programs Filed numerically by plan. 1990	N	500-5a	Perm							1/1		Civil Disturbance Reports. Filed chronologically. 1990	N	500-50b	Perm							1/1		Permanent Order Record Sets. Filed numerically. 1990	N	310-10c	Perm				
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NSN 7540-00-634-4093										135-107										Standard Form 135 (Rev. 7-85) Prescribed by NARA 36 CFR 1228.152																																																																						

RECORDS TRANSMITTAL AND RECEIPT				Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.			
1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150)				5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)			
<b>RECORDS HOLDING AREA</b> <b>ATTN: (OFFICE SYMBOL)</b> <b>STREET ADDRESS (IF ANY)</b> <b>FT HUACHUCA, AZ 85613-0000</b> <b>TRANSFERRING AGENCY OFFICIAL (Signature and title)</b> <b>Joanne Miller</b> <b>Chief, Civilian Pay Section</b>				<b>DIRECTORATE OF LOGISTICS</b> <b>ATTN: ASH-DOL</b> <b>U.S. ARMY GARRISON</b> <b>STREET ADDRESS (IF ANY)</b> <b>FT HUACHUCA, AZ 85613-6000</b>			
<b>2. AGENCY TRANSFER AUTHORIZATION</b> <b>TRANSFERRING AGENCY OFFICIAL (Signature and title)</b> <b>Joanne Miller</b> <b>Chief, Civilian Pay Section</b>				<b>DISPOSAL DATE</b> <b>Oct 95</b>			
<b>3. AGENCY CONTACT</b> <b>TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)</b> <b>Marion L. Bobb, Support Services Office,</b> <b>(602) 538-5216, 879-5216</b>				<b>DISPOSAL AUTHORITY</b> <b>(Schedule and item number)</b> <b>AR 25-</b> <b>37-105q</b>			
<b>4. RECORDS CENTER RECEIPT</b> <b>RECORDS RECEIVED BY (Signature and title)</b>				<b>RESTRICTION</b> <b>(g)</b> <b>N</b>			
<b>5. RECORDS DATA</b>				<b>COMPLETED BY RECORDS CENTER</b>			
<b>AGENCY BOX NUMBERS</b> <b>(e)</b>				<b>LOCATION</b> <b>(j)</b>			
<b>VOLUME</b> <b>(c, ft)</b> <b>9</b>				<b>DISPOSAL DATE</b> <b>(i)</b>			
<b>NUMBER</b> <b>(c)</b>				<b>PLAN</b> <b>(k)</b>			
<b>RG</b> <b>(a)</b>				<b>TYPE</b> <b>(l)</b>			
<b>FY</b> <b>(b)</b>				<b>DATE</b> <b>(m)</b>			
<b>DESCRIPTION</b> <b>(With inclusive dates of records)</b> <b>(f)</b> <b>These records are an addition to a records system previously retired to the records center; and the information previously submitted by Headquarters, Department of the Army is still applicable.</b> <b>U.S. Army Garrison, Resource Management Directorate, Finance and Accounting Division, Fort Huachuca, AZ</b> <b>Civilian Pay Section</b> <b>Payroll Substantiating Document Folders (FY 90) Filed alphabetically.</b> <b>A thru C</b> <b>D thru F</b>				<b>RECORDS DATA</b>			

RECORDS TRANSMITTAL AND RECEIPT (Continuation)				This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.		TRANSFERRING AGENCY'S NAME		DATE	PAGE 2 OF 2	PAGES
ACCESSION NUMBER		VOLUME (cc. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	LOCATION	COMPLETED BY	RECORDS CENTER
RG	RY	NUMBER (c)	(d)	(f)	(g)	(h)	(i)	(j)	(k)	(l)
			3/9	G thru I	N	37-105q	Oct 95			
			4/9	J thru L						
			5/9	M thru O						
			6/9	P thru R						
			7/9	S thru U						
			8/9	V thru X						
			9/9	Y thru Z						

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135-204  
\*U.S. GPO, 1991-103-014 432\*\*

STANDARD FORM 135-A (Rev. 7-85)  
Prescribed by NARA  
36 CFR 1228.152

Figure 9-3. Sample SF 135 for a single series records transfer to a RHA, with continuation sheet—Continued

## **Chapter 10**

### **Records Holding Areas and Federal Records Centers**

#### **10-1. Records holding areas**

This chapter contains procedures for the approval, establishment, operation, and discontinuance of RHAs, identifies designated Army RHAs and FRCs, and identifies OCRHAs.

#### **10-2. Reason to establish records holding areas**

*a.* RHAs are established, when justified by volume, to maintain inactive records pending their destruction or transfer into the FRC system. An RHA uses less expensive space and equipment than a CFA to store records. Normally, records are not held in an RHA for more than 5 years. The installation IM ensures that long-term records (more than 5 years old) are sent to the appropriate FRC or other disposition center as specified at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001).

*b.* OCRHAs serve the same purpose as RHAs, however, they also consolidate and ship to CONUS records with long-term value.

#### **10-3. Establishment of records holding areas**

Space for RHA use will be limited to the minimum required for records holdings. The space selected must at least be weatherproof, free of rodents and insects, and have adequate light, ventilation, and heating. It also should be of fire resistant construction. The minimum acceptable files-to-space ratio is 2 linear feet of files to each square foot of floor space. A ratio of 3 or more linear feet of files to each square foot of floor space is possible under the best conditions. Steel shelving of the type manufactured by the Federal Prisons Industries, Incorporated (NSN 7125-00-550-6015, Open Type "E," Class III, Metal Storage and Display Shelving) should be used.

*a. Offices of HQDA.* RHAs may be established within offices of HQDA where space is available and such an operation is cost effective.

*b. Installations and off-post activities.* One RHA will serve all activities located within the same geographical area. An installation or off-post activity will establish an RHA when—

- (1) It is not serviced by an existing RHA; and
- (2) It generates 100 or more linear feet of records annually with a retention period of 3 years or more.

*c. Overseas commands.* An OCRHA will be established in each major OCONUS command. The commander of each major OCONUS command will notify HQ, RMDA, ATTN: TAPC-PDD-R, Fort Belvoir, VA 22060-5603, of the activation, change, or discontinuance, and the new address of any OCRHA within his or her command jurisdiction. See table 10-1 for a listing of the current OCRHAs and addresses.

#### **10-4. Operation of records holding areas**

*a.* RHA operators will ensure that eligible records are retired or destroyed at the proper time and that access for reference to stored records is available.

*b.* They will ensure that records removed from the RHA for reference or other actions are returned within a reasonable time frame. Use DA Form 543 in a charge-out suspense system for this purpose.

*c.* They will establish a locator and disposition file. This file has copies of SF 135 prepared by offices placing records in the RHA or when records are retired to FRCs. This file makes it easier to locate records in the RHA and to retrieve records from FRCs.

#### **10-5. Discontinuance of records holding areas**

When the records storage requirements of organizations being serviced by an RHA drop below 100 linear feet annually, the RHA should be discontinued. Exceptions are permitted if this is not practical or cost effective. Records that cannot be destroyed upon discontinuance of the RHA will be retired to the appropriate FRC, if eligible. Otherwise, they will be returned to the office that placed them in the RHA.

#### **10-6. Army records centers**

There are three Army records centers for intelligence and criminal investigative records. These centers are listed in table 10-1.

#### **10-7. Federal Records Centers**

The National and Federal Records Centers listed in table 10-1 have been established in CONUS to receive and maintain records with long-term or permanent value, pending their ultimate destruction or accession into the National Archives. These centers furnish reference service for the records that they maintain.

- a. Use OF 11 (Reference Request-Federal Records Centers) to secure the loan of, or gain access to, agency records that have been retired into the FRC system.
- b. Use SF 127 (Request for Official Personnel Folder-Separated Employee) to request the return of retired Official Personnel Folders (Civilian) from the National Personnel Records Center.
- c. Use SF 180 (Request Pertaining to Military Records) to request the return of retired Official Personnel Folders (Military) from the National Personnel Records Center.

**Table 10-1**  
**Records Centers and Major Records Storage Areas**

Center	Records
<b>National records centers and Federal records centers administered by the National Archives and Records Administration</b>	
Washington National Records Center WASH DC 20409 When retiring records by common carrier, use the following address: 4205 Suitland Road Suitland, MD 20746	Eligible organizational records from all Army elements except— a. Records for which specific instructions in this regulation specify otherwise. b. Corps of Engineers agencies located outside the District of Columbia, Maryland, Virginia, West Virginia, Europe, Middle East, Hawaii, and Pacific Ocean areas.
National Personnel Records Center (Military Personnel Records) 9700 Page Boulevard St. Louis, MO 63132	Records for which specific instructions in this regulation specify retirement to this center. These are primarily military personnel related records and certain medical treatment records in the 600-series and 40-series file numbers.
National Personnel Records Center (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118	a. Records for which specific instructions in this regulation specify retirement to this center. These are primarily civilian personnel related records and certain medical treatment records identified in the 690-series and 40-series file numbers. b. Nonpermanent records from Corps of Engineers agencies located in the greater St. Louis, MO, area, unless instructions in this regulation specify another center.
Federal Archives and Records Center 380 Trapelo Road Waltham, MA 02154	Records from Corps of Engineers agencies located in Connecticut, Maine, New Hampshire, Massachusetts, Rhode Island, and Vermont, unless specific instructions in this regulation specify another center.
Federal Archives and Records Center Military Ocean terminal Building 22 Bayonne, NJ 07002	Records from Corps of Engineer agencies located in Jersey and New York, unless specific instructions in this regulation specify another center.
Federal Archives and Records Center 5000 Wissahickon Avenue Philadelphia, PA 19144	Records for Corps of Engineer Agencies located in Delaware and Pennsylvania, unless specific instructions in regulation specify another center.
Federal Archives and Records Center 1557 St. Joseph Avenue East Point, GA 30344	Records from Corps of Engineers agencies located in Alabama, Florida, Georgia, Kentucky, North Carolina, South Carolina, Mississippi, and Tennessee, unless specific instructions in this regulation specify another center.
Federal Archives and Records Center 7358 South Pulaski Road Chicago, IL 60629	Records from Corps of Engineers agencies located in Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin, unless specific instructions in this regulation specify another center.
Federal Records Center 3150 Springboro Road Dayton, OH 45439-1883	Certain Finance and Fiscal records, identified in the 37-series of records, accumulated by the U.S. Army Finance and Accounting Center, Indianapolis, Indiana.
Federal Archives and Records Center 2312 East Bannister Road Kansas City, MO 64131	a. "Permanent" records from Corps of Engineer agencies located in the greater St. Louis, MO, area, unless specific instructions in this regulation specify another. b. Records from Corps of Engineers agencies located in Iowa, Kansas, Missouri (outside greater St. Louis area), and Nebraska, unless specific instructions in this regulation specify another center.
Federal Archives and Records Center Building 1, Dock 1 4900 Hemphill Street Forth Worth, TX 76115	Records from Corps of Engineers agencies located in Arkansas, Louisiana, New Mexico, Oklahoma, and Texas, unless specific instructions in this regulation specify another center.
Federal Archives and Records Center 1000 Commodore Drive San Bruno, CA 94066	Records from Corps of Engineers agencies located in California (except southern California) and Nevada (except Clark County), unless specific instructions in this regulation specify another center.

**Table 10-1**  
**Records Centers and Major Records Storage Areas—Continued**

Center	Records
Federal Archives and Records Center 24000 Avila Road Laguna Niguel, CA 92677	Records from Corps of Engineers agencies located in Arizona, Clark County Nevada, and southern California (counties of San Luis Obispo, Kern, San Bernadino, Santa Barbara, Ventura, Orange, Louisiana, Riverside, Inyo, Imperial, and San Diego), unless specific instructions in this regulation specify another center.
Federal Archives and Records Center 6125 Sand Point Way Seattle, WA 98115	Records from Corps of Engineers agencies located in Washington, Oregon, Idaho and Alaska, unless specific instructions in this regulation specify another center.
<b>Army Records Centers administered by the Commander, U.S. Army Intelligence and Security Command</b>	
Investigative Records Repository Fort George G. Meade, MD 20755-5995	Personnel security, counterintelligence, and intelligence records (other than Signal Security, Special Intelligence, and Signal Intelligence) that are described in this regulation.
U.S. Army Intelligence and Security Command Records Center ATTN: IASA-AR, Arlington Hall Station Arlington, VA 22212-5000	COMSEC material accounting, Signal Security, Special Intelligence, and Signal Intelligence records that are described in this regulation.
<b>Army Records Centers administered by the U.S. Army Criminal Investigation Command</b>	
U.S. Army Crime Records Directorate USACIDC, 2301 Chesapeake Avenue Baltimore, MD 21222-5325	Reports of criminal investigations, selected military police reports, and other related records described in this regulation.
<b>Army records storage and processing centers administered by the Chief, Army Reserve</b>	
U.S. Army Reserve Personnel Center 9700 Page Boulevard St. Louis, MO 63132-5200	Records for which specific instructions in this regulation specify retirement to this center. These are primarily individual military personnel related records described in the 40-, 350-, and 640-series file numbers.
<b>Army Overseas Command Records Holding area (OCRHA) administered by the commander of the appropriate major overseas command</b>	
Commander, 2d Signal Brigade, USAREUR Command Records Holding Area ATTN: ASQE-X-ISM-C APO New York 09069-5506	All records designated for transfer to an OCRHA under this regulation.
Overseas command records holding area, Korea, APO San Francisco 96259	All records designated for transfer to an OCRHA under this regulation.
USARJ overseas command records holding area APO San Francisco 96343	All records Designated for transfer to an OCRHA under this regulation.



## **Appendix A**

### **References**

#### **Section I**

##### **Required Publications**

###### **AR 25-1**

Army Information Management. (Cited in paras 1-1*a* and 3-1*c*.)

###### **AR 25-50**

Preparing and Managing Correspondence. (Cited in para 5-4.)

###### **AR 25-55**

The Department of Army Freedom of Information Act Program. (Cited in para 1-1*e*.)

###### **AR 340-21**

The Army Privacy Program. (Cited in paras 1-1*e* and 1-7*e*.)

###### **AR 380-5**

Department of the Army Information Security Program. (Cited in paras 5-7*c*, 5-10, 6-1, 9-2*a*, *b*, *c*, and 9-12*c*(2).)

###### **AR 380-13**

Acquisition and Storage of Information Concerning Nonaffiliated Persons and Organizations. (Cited in para 9-4*e*.)

###### **AR 380-19**

Information Systems Security. (Cited in para 3-1.)

###### **AR 380-28**

(C) Department of the Army Special Security System. (Cited in para 9-2*d*.)

###### **AR 550-51**

International Agreements. (Cited in para 1-6*b*(1).)

###### **DA Pam 25-51**

The Army Privacy Program-System Notices and Exemption Rules. (Cited in paras 3-14*c*(1), 5-9*c*(2)(*a*), 5-9*d*, 5-13*a*, 9-4*d*, and 9-5*e*(9)(*a*).)

#### **Section II**

##### **Related Publications**

###### **DA Pam 25-30**

Consolidated Index of Army Publications and Blank Forms. (All Army Regulations, Army Pamphlets, Engineer Regulations, and other Army publications associated with the file numbers listed in this pamphlet.)

#### **Section III**

##### **Prescribed Forms**

###### **DA Form 543**

Request for Records. (Prescribed in paras 8-3*a*, 8-4, and 10-4*b*.)

###### **DA Form 1613**

Records Cross Reference. (Prescribed in para 5-5*a*.)

###### **OF 11**

Reference Request-Federal Records Centers. (Prescribed in para 10-7*a*.)

###### **OF 23**

Charge-out Record. (Prescribed in para 8-3*b*.)

**OF 24**

Shelf File Charge-out Record. (Prescribed in para 8–3*b*.)

**OF 282**

Microfiche Charge-out Record. (Prescribed in para 8–3*b*.)

**SF 135**

Records Transmittal and Receipt. (Prescribed in paras 1–8*b*, 9–1*b*, 9–5*a* to *d*, 9–6 to 9–10, and figs 9–1 to 9–3.)

**SF 135–A**

Records Transmittal and Receipt (continuation). (Prescribed in paras 1–8*b*, 9–1*b*, 9–5*a* to *d*, 9–6 to 9–10, and figs 9–1 to 9–3.)

**SF 180**

Request Pertaining to Military Records. (Prescribed in para 10–7*c*.)

**Section IV****Referenced Forms****DA Form 3964**

Classified Document Accountability Record

**SF 127**

Request for Official Personnel Folder Separated Employee

**SF 703**

TOP SECRET Cover Sheet

**SF 704**

SECRET Cover Sheet

**SF 705**

CONFIDENTIAL Cover Sheet

**Section V****Recordkeeping Requirements**

This regulation requires the creation, maintenance, and use of the following specific records (see the electronic version of the Army Records Retention Schedules on both the U.S. Army Records Management and Declassification Agency web page located at <http://www.rmda.belvoir.army.mil/markstit.htm> and on the Army Electronic Library CD-ROM (EM 0001) for file numbers (FNs), descriptions and dispositions).

**FN 1a**

Office file numbers

**FN 1g**

Office record transmittals

**FN 25–400–2a**

Record locator and dispositions

**FN 25–400–2b**

Chargeout suspenses

**FN 25–400–2d**

Records disposition standard exceptions

**FN 25–400–2g**

Records disposal authorizations

## **Glossary**

### **Section I Abbreviations**

**AARA**

Access and Amendment Refusal Authority

**ACCOR**

Army COMSEC Central Office of Record

**ACES**

Army continuing education system

**ACM**

authorized controlled materials

**ACPC**

Army potential contractor program

**ACS**

Army Community Service

**ADAPCP**

alcohol and drug abuse prevention and control program

**ADO**

advance development objective

**ADP**

automatic data processing

**ADPE**

automatic data processing equipment

**ADSM**

automated data systems manual

**AER**

Army Emergency Relief

**AFDCB**

Armed Forces Disciplinary Control Board

**AFEES**

Armed Forces Examining and Entrance Station

**AIEP**

Army Ideas for Excellence Program

**AMO**

automation management officer

**APO**

Army post office

**APOE**

aerial port of embarkation

**ARFCOS**

Armed Forces Courier Service

**AWOL**

absent without leave

**BOIP**

basis of issue plan

**CARDS**

catalog of approved requirements documents

**CCF**

Chaplain's Consolidated Fund

**CDC**

Center for Disease Control

**CDS**

child development services

**CEEB**

College Entrance Examination Board

**CFA**

current files area

**CI**

Civilian internees; counter intelligence

**CIB**

Criminal Intelligence Bulletins

**CINAF**

composite institute address files

**CMSP**

Chemical Material Surveillance Program

**CNPO**

Central NAF Payroll Office

**COB**

command operating budget; close of business

**COFF**

cutoff, cut off

**COLA**

cost of living allowance; cost of living adjustment

**COM**

computer output microforms

**COMSEC**

communications security

**CONUS**

continental United States

**COOP**

Continuity of Operation Plans

**COPE**

Custodian of Postal Effects

**CPA**

certified public accountant

**CSDP**

Command Supply Discipline Program

**CSRS**

civil service retirement system

**CTA**

common table of allowances

**CTT**

Common Task Test

**DAGO**

Department of the Army General Order

**D&F**

determination and finding

**DCSIM**

Deputy Chief of Staff for Information Management

**DCSINT**

Deputy Chief of Staff for Intelligence

**DCSPER**

Deputy Chief of Staff for Personnel

**DEA**

data exchange annex

**Dest**

destroy

**DEP**

delayed entry program; displaced employee program

**DFARS**

Department of Defense Federal Acquisition Regulation Supplement

**DIA**

Defense Intelligence Agency

**Disc**

discontinue, discontinuance

**DOD**

Department of Defense

**DODIG**

Department of Defense Inspector General

**DOIM**

Director of Information Management

**DPI**

data processing installation

**DRMO**

Defense Reutilization and Marketing Office

**EEO**

Equal employment opportunity

**EECI**

essential elements of criminal intelligence

**EFT**

electronic funds transfer

**EOD**

explosive ordnance disposal

**ESG**

Environmental Support Group

**ETS**

Expiration Term of Service

**EW**

electronic warfare

**FAR**

Federal Acquisition Regulation

**FEMS**

Facilities Engineering Management System

**FERS**

Federal employees retirement system

**FIPS**

Federal information processing standards

**FIRMR**

Federal Information Resource Management Regulation

**FN**

file number

**FOIA**

Freedom of Information Act

**FOUO**

For Official Use Only

**FPM**

Federal Personnel Manual

**FRC**

Federal Records Center

**FSS**

Federal Supply Schedule

**GAO**

General Accounting Office

**GH**

guest house

**GSA**

General Services Administration

**HHG**

household goods

**HREC**

health record

**HQDA**

Headquarters, Department of the Army

**ICF**

intelligence contingency funds

**ICR**

internal control review

**ICRC**

International Committee of the Red Cross

**IFR**

individual flight record

**IFRF**

individual flight record folder

**IFS**

Integrated Facilities System

**IG**

inspector general

**IMA**

information mission area

**IMO**

information management officer

**ITEP**

Individual Training Evaluation Program

**JA/ATT**

Joint Airborne/Air Transportability Training

**JACS**

JUMPS Army Automated Coding system

**JINTACCS**

Joint Interoperability of Tactical Command and Control System

**JTA**

joint table of allowances

**JTD**

joint table of distribution

**JTR**

Joint Travel Regulation

**JUMPS**

joint uniform military pay system

**LES**

leave and earnings statement

**LFN**

list of file numbers

**MAAG**

Military Assistance Advisory Group

**MAC**

Military Airlift Command

**MACOM**

major Army command

**MAP**

Military Assistance Program

**MARKS**

Modern Army Recordkeeping System

**MARS**

Military Affiliate Radio System

**MCN**

Management Control Number

**MEDCEN**

medical centers

**MEDDAC**

medical department activity

**MIA**

missing in action

**MMPF**

master military pay file

**MN**

materiel need

**MOA**

memorandum of agreement

**MOS**

military occupational specialty

**MOU**

memorandum of understanding



**MPRJ**

military personnel record jacket

**MPV**

military pay voucher

**MRPF**

master retired pay file

**MRR**

machine-readable records; materiel readiness report

**MSC**

major subordinate command

**MTDA**

modification table of distribution and allowances

**MTOE**

modification table of organization and equipment

**MUSARC**

major U.S. Army Reserve command

**MWO**

modification work order

**NAF**

nonappropriated funds

**NAFI**

nonappropriated fund instrumentality

**NARA**

National Archives and Records Administration

**NATO**

North Atlantic Treaty Organization

**NBPRP**

National board for the promotion of rifle practice

**NCO**

noncommissioned officer

**NCR**

National Capital Region

**NDA**

nondisclosure agreement

**NDCC**

National Defense Cadet Corps

**NIPC**

National Inventory Control Point

**NLN**

no longer needed

**NPRC**

National Personnel Records Center

**NRC**

Nuclear Regulatory Commission

**NSA**

National Security Agency

**NSN**

National Stock Number

**OCIE**

organizational clothing and individual equipment

**OCRHA**

overseas command records holding area

**OCS**

Officer Candidate School

**ODCSPER**

Office of the Deputy Chief of Staff for Personnel

**OMB**

Office of Management and Budget

**OMPF**

officer military personnel file

**OPF**

official personnel folder

**OPM**

Office of Personnel Management

**OSA**

Office of the Secretary of the Army

**OTAG**

Office of the Adjutant General

**OTIG**

Office of the Inspector General

**OTJAG**

Office of the Judge Advocate General

**OWCP**

Office of Workers' Compensation Program

**PBO**

Property Book Officer

**PCF**

practitioner credentialing files

**PCS**

permanent change of station

**PERM**

Permanent

**PERMAS**

Personnel Management Assistance System

**PERSCOM**

U.S. Total Army Personnel Command

**PFR**

personnel finance record

**PIF**

place in an inactive file

**POM**

program objective memorandum

**POR**

processing of overseas replacements

**POV**

privately owned vehicle

**PSE**

physical security equipment

**PW**

prisoner of war

**QDT**

quadruple terminal digit

**QMDO**

qualitative materiel development objective

**QMR**

qualitative materiel requirements

**QRI**

qualitative requirements information

**QQPRI**

qualitative and quantitative personnel requirements information

**RCPAC**

Reserve Components Personnel and Administration Center

**RDTE**

research, development, test, and evaluation

**Ret**

retire

**RHA**

records holding area

**RIF**

reduction in force

**RMDA**

Records Management and Declassification Agency

**ROC**

required operational capability

**ROTC**

Reserve Officers' Training Corps

**SBP**

survivor benefit plan

**SES**

Senior executive service

**SF**

standard form

**SFTP**

Stockpile Function Test Program

**SIDPERS**

Standard Installation/Division Personnel System

**SIGINT**

signals intelligence

**SIGSEC**

signals security

**SLTP**

Stockpile Laboratory Test Program

**SOP**

standing operating procedure

**SQT**

skill qualification test

**SRO**

standing route order

**SSA**

Supply Support Agency

**SSN**

social security number

**SSSC**

Self Service Supply Center

**STANFINS**

Standard Army Finance System

**SUBMACOM**

major Army subordinate command

**TAADS**

The Army Authorization Documents System

**TCMD**

transportation control and movement document

**TDA**

tables of distribution and allowances

**TDRL**

temporary disability retired list

**TBO**

transaction by others

**TFO**

transaction for others

**TISA**

troop issue subsistence activities

**TJAG**

The Judge Advocate General

**TLE**

Technical Listening Equipment

**TOE**

table of organization and equipment

**TRADOC**

U.S. Army Training and Doctrine Command

**trf**

transfer

**UCMJ**

Uniform Code of Military Justice

**UPH**

unaccompanied personnel housing

**USAAA**

U.S. Army Audit Agency

**USAEHA**

U.S. Army Environmental Hygiene Agency

**USAMHRI**

U.S. Army Military History Research Institute

**USAMMA**

U.S. Army Medical Materiel Agency

**USALSA**

U.S. Army Legal Services Agency

**USAPA**

U.S. Army Publishing Agency

**USAPACEHEA**

U.S. Army Pacific Environmental Health Engineering Agency

**USAR**

U.S. Army Reserve

**USASC**

U.S. Army Safety Center

**USDA**

United States Department of Agriculture

**USDB**

U.S. Disciplinary Barracks

**USMA**

U.S. Military Academy

**UW**

unconventional warfare

**VA**

vulnerability assessment; Department of Veterans Affairs

**VHA**

variable housing allowance

**WCSC**

Waterborne Commerce Statistics Center

**WIC**

women, infants, and children

**WNRC**

Washington National Records Center

**Section II****Terms****Acceptable substitute for original documents**

Term primarily used to describe disposition standards for destruction of original records after they have been converted to microform. Before microfilm can become the record copy and the records or information from which the microfilm was produced can be destroyed, the microform image must meet all necessary quality standards. If the records may be used in a court of law, acceptability of the microform in place of the original records must be established.

**Accession**

The act and procedures involved in transferring legal title and physical custody of records from Department of the Army to the National Archives. This action is done by HQDA (SAIS-IDP) WASH DC 20310-0107 through a formal offer of the records to the National Archives of the United States).

**Accession number**

A three-part number that is assigned to each records shipment to an FRC. It consists of the National Archives records group number, the fiscal year, and a four-digit sequential number (for example, 77-80-0001, 338-81-0001, 153-81-0001). Accession numbers uniquely identify retired records for locating them in an FRC.

**Action copy**

That copy of a communication directed to a particular agency, office, or individual responsible for action, as opposed to an information copy.

**Administrative value**

The usefulness of records to the originating or succeeding agency for current business.

**Alphabetical arrangement**

There are two basic methods of arranging records alphabetically by subject, and by name. These methods are:

*a. Subject.* Under this method, use subject titles and arrange alphabetically.

*b. Name.* Arrange records by the name of persons, places, or organizations. These are examples of the name arrangement method:

(1) *Personal names.* File by surname, then by first name, and middle initial. For example, Brown, Robert J.; Doe, John L.; Smith, Joe S.

(2) *Place names.* File first by name of larger place, and then by specific location. For example: Maryland, Camp Springs; Ohio, Xenia; Pennsylvania, Franklin; Wisconsin, Madison; Wyoming, Cheyenne.

(3) *Organizational names.* First file by general name, such as arsenal, battalion, depot, company, then file by specific name. For example: Arsenal, Pine Bluff; Depot, Red River; Military Ocean Terminal, Bayonne. When some records are filed by number and others by name within the same record group, the numbered records should come before the named records. For example: 32d MI Detachment; 45th Infantry Division; Main Army Depot.

**Appraisal**

The process of determining the value (and therefore, the disposition) of records based upon their current administrative, legal, and fiscal use; their evidentiary and informational or research value; their arrangement; and their relationship to other records.

**Archival value**

The determination in appraisal that records are worthy of permanent preservation by the National Archives.

**Audiovisual records**

Records in pictorial or audio form, regardless of format.

**Cartographic records**

Records depicting, in graphic or photogrammetric form, a portion of a linear surface, such as maps, globes, topographic and hydrographic charts, cartographies, relief models, and aerial photographs.

**Case file**

A folder or other file unit containing material relating to a specific action, event, person, place, project, or thing.

**Central files**

The records of several offices or organizational units physically or subjectively centralized and supervised in one location.

**Classification**

The act of identifying documents or records in accordance with a predesignated filing system.

**Computer output microform**

Microforms (microfiche, microfilm) containing data produced by a recorder from computer generated signals. A process of converting data from magnetic tape to human readable images on film.

**Copy**

A reproduction or duplication of an original record. Copies identified by their functions include action copy, comeback copy, file or record copy, information or reference copy, official copy, and stayback copy. Copies identified by method of creation include carbon, ribbon, electrostatic, mimeograph, offset, press, diazo, and vesicular.

**Current files area**

Areas and office space where current, day-to-day work is done and current records are created and maintained.

**Current records**

Records necessary for doing the current business of an office; they must be maintained in files equipment in the office.

**Cutoff**

The setting aside of a logical block of records on which all action has been completed. Then the retention and disposition instructions can be applied. Blocks of records are normally cut off at the end of a fiscal year, a calendar year, or a school year. Specific records within the block that represent incomplete or continuing action are withdrawn and carried forward into the new file.

**Date arrangement**

A system of arranging records or documents in chronological order by year, by month, or by day of the month.

**Deacidification**

The process by which the pH of paper documents is raised to a minimum of 7.0. This process is used as a method of preserving paper records of long-term value that are deteriorating due to age and use. The process is generally used before documents are thermoplastically laminated.

**Declassification**

The determination that security classified information no longer requires, in the interest of national security, protection against unauthorized disclosure. Removal or cancellation of the security information markings is normally involved.

**Departmental records**

Records accumulated by Headquarters, DA agencies as opposed to those accumulated by field operating agencies, staff support agencies, major Army commands, and similar organizations.

**Discontinuance**

The placing of an organization in an inactive status or in surplus status when all military functions have ceased. When this term is used, it also includes inactivation, disbandment, and reduction to zero strength.

**Disposition**

The actions taken with noncurrent records. These include transfer to a records holding area, retirement to a Federal records center, authorized donations, destruction, and accessioning into the National Archives.

**Disposition instructions**

Precise instructions specifying the date or event for cutoff, transfer, retirement, or destruction of records.

**Disposition schedule**

A document governing, on a continuing basis, the retention and disposition of the recurring record series of an organization or agency. This pamphlet makes up the Army disposition schedule. These disposition instructions meet the requirements of 44 USC 3301–3314.

**Donation**

The transfer of Army records (which are eligible for destruction) to a qualified agency, organization, institution, or person. HQDA(SAIS-IDP) approval is required for donations.

**Duplex number arrangement**

A system of numeric filing where the number has two or more parts, separated by a dash, space, or a comma (for example, 340–1, 611–201, 096 10 2594). Under this method, arrange documents in straight numerical sequence by the first part of the number and then by succeeding parts of the number. Army Regulations are an example of documents filed under this method.

**Field records**

Records accumulated by field operating agencies, staff support agencies, major Army commands, posts, installations, and similar organizations, as opposed to those accumulated by HQDA.

**File**

- a. An accumulation of records maintained in a predetermined physical arrangement.
- b. To place documents in a predetermined location according to an overall plan of classification.

**File number**

The number assigned to records described under that file number. This number identifies information for filing, reference, and disposition authority.

**Geographical arrangement**

A system of arranging records alphabetically by geographical area such as major command, country, county, or territory.



**Housekeeping files**

Records accumulated or generated within an office that document the internal administrative functions of the office as opposed to those that document the primary missions of the office.

**Information management**

The administration of information, its uses and transmission, and the application of theories and techniques of information science to create, modify, or improve information handling systems.

**List of file numbers**

A listing of the specific file numbers and file titles describing the records accumulated or generated within an office. The listing is prepared within each element where records are accumulated or generated and must be approved by the appropriate records management official.

**Modern Army Recordkeeping System**

A system for identifying, arranging, and retrieving Army records for reference and disposition according to the directive, usually an AR or DA Pamphlet, which prescribes their creation, maintenance, and use.

**Machine-readable records**

Machine-readable records (MRR) are data or information stored on magnetic media such as tape, disk packs, drums, and optical disks. For purposes of this regulation, punched cards are considered machine-readable media. MRR require machine processing and decoding for conversion to human-readable form; also, they document one or more specific functions of an element or office. MRR are records as defined by the Federal Records Disposal Act (section 366, title 44, United States Code (44 USC 366)).

**Master file**

The definitive state of a data file in an automated system at a given time.

*a. Current master file.* As distinguished from the prior master file (see *b*below), the current state of a data file in an automated system at a given time; or master continuous update tapes (or other media) containing data merged with valid transaction data to create a new (or updated) master file.

*b. Prior master file.* A file that was at one time the current master file, but was superseded in the master file updating process. Usually second, third, or fourth generation tapes (or other media) reflecting superseded data or a superseded master file that has lost all or some of its data.

*c. Historical (transaction) file.* A file of accumulated data from previous transactional updates and kept separately for historical purposes or a valid file of items used with the master data input file to create a master data output file. This file of items is sometimes kept for security backup, historical, or similar purposes for varying periods of time. A file may be identical in format and content to a master file, but kept separately for security backup, historical, or similar purposes.

**Mixed series records shipment**

A records shipment of one box under more than one MARKS file number, or created by more than one element of an organization. This shipment has one accession number.

**Noncurrent records**

Records no longer required for current operations.

**Office**

Any place where records are created, maintained, or used.

**Organizational arrangement**

A system of arranging records either alphabetically by name of organization, or numerically by organization number.

**Permanent records**

The designation applied to records worthy of permanent retention by the United States, and accessioned into the National Archives.

**Prescribed quality standards**

The survivability standard that microforms must meet before they are approved for use as the record copy of information. This phrase is primarily used in disposition standards to authorize the destruction of original records after they have been converted to microform.

**Preservation**

Specific measures, individual and collective, taken for the repair, maintenance, restoration, or protection of information storage media.

**Project file**

See case file.

**Reading file**

A file with copies of documents arranged in chronological order.

**Record copy**

That copy of a record kept by the agency, office, or element directly responsible for the function to which the record relates. No matter what method is used to create or duplicate the copy, record copies of incoming or outgoing communications may be in a variety of forms. These include paper copy, yellow file copy, ribbon copy, carbon copy, handwritten items, specific media, microforms, and so forth. It does not include reading file copies, or copies held for convenience or reference.

**Records**

All books, papers, maps, photographs, machine-readable materials, or other documentary materials regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.

**Records center**

A facility that is designed and constructed for low-cost and efficient storage of records, and for reference service on semicurrent records, pending their ultimate disposition. FRCs serving the Army are operated by GSA.

**Records holding area**

A facility established to collect and maintain cutoff records until they are either eligible for destruction or retirement to a Federal records center or other records depository. When located OCONUS, these facilities are referred to as Overseas Command Records Holding Areas (OCRHAs).

**Retention period**

The length of time that a record must be kept before it is destroyed. Records not authorized for destruction have a retention period of permanent.

**Retire**

The movement of records from a CFA or RHA into the Federal Records Center system.

**Security classified information**

Official records or information requiring protection against unauthorized disclosure. The degree of protection is specified by one of the following: TOP SECRET, SECRET, CONFIDENTIAL.

**Single series records shipment**

A records shipment of one or more boxes under one MARKS file number, accumulated by one element of an organization. This shipment has one accession number.

**Straight numerical arrangement**

A system of arranging records in consecutive numerical sequence, that is, 1, 2, 3, 4, 5, and so forth.

**Subject arrangement**

A system of arranging records by a meaningful title.

**Textual records**

The term applied to manuscript or typescript, as distinct from audiovisual, cartographic, and machine-readable records.

**Terminal digit arrangement**

A system of arranging records by number using the units and tens (terminal digits) of a number rather than the whole

number. For example, the No. 3441–56–5929 would normally be separated as 344156–59–29 for terminal digit filings. The primary arrangement is “29,” the secondary arrangement is “59,” and the remaining digits are used for filing in straight numerical order.

**Transfer**

The movement of records from a CFA into an RHA.

**Unidentified files**

Records that are not currently described under MARKS file numbers. When such records are determined to exist, specific records management actions prescribed in this regulation will be taken.

**Unscheduled records**

Records which have not been approved by NARA for disposition.

**Working papers**

Documents such as rough notes, calculations, or drafts that are assembled or created and used in the preparation or analysis of other documents. These documents are also considered records and are filed under the appropriate MARKS number.

**Section III****Special Abbreviations and Terms**

There are no entries in this section.

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